DOCUMENT RESUME

ED 251 074 IR 050 896

TITLE	Goals & Objectives Statements. SPEC Kit 15.
INSTITUTION	Association of Research Libraries, Washington, D.C. Office of Management Studies.
PUB DATE	Jan 75
NOTE	130p.; Best copy available; legibility varies. For updated document, see IR 050 935.
PUB TYPE	Collected Works - General (020) -- Legal/Legislative/Regulatory Materials (090)
EDRS PRICE	MF01/PC06 Plus Postage.
DESCRIPTORS	*Academic Libraries; Annual Reports; Higher Education; *Library Administration; Library Planning; *Library Role; *Objectives; Position Papers; *Program Evaluation; *Research Libraries

ABSTRACT

This collection of statements of goals and objectives from member libraries of the Association of Research Libraries (ARL) contains: (1) sections from management review and analysis program reports from the University of Washington Libraries and the University of Rochester Library; (2) a detailed organization description from the Columbia University Libraries; (3) formal goals and objectives statements from the libraries at the University of Tennessee, the University of Nebraska, Cornell University, Oklahoma State University, the University of Connecticut, the University of California at San Diego, and the University of Washington; and (4) an annual report based on goals and objectives from Columbia University. (THC)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

JANUARY 1975
Systems and Procedures Exchange Center

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
☒ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.
- Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

ED251074

Goals & Objectives

Statements

Kit 15

IR060996

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY
Maxine Sitts
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

The Systems and Procedures Exchange Center (SPEC) is a mechanism for sharing management techniques and expertise. The Center collects data and documentation related to academic and research library management and makes the material available to the library community. The Systems and Procedures Exchange Center is operated by the Association of Research Libraries/ Office of Management Studies/ 1527 New Hampshire Avenue, N.W./ Washington, D.C. 20036/ Telephone: (202)232-8656.

GOALS AND OBJECTIVES

KIT NO. 15 - JANUARY 1975

TABLE OF CONTENTS

SECTIONS FROM MANAGEMENT REVIEW AND ANALYSIS PROGRAM REPORTS

Report of the Management Study of the University of Washington Libraries. April-November 1973 6 pp.

Management Review and Analysis of the University of Rochester Library. Final Report of the MRAP Study Team. 8 pp.

DETAILED ORGANIZATION DESCRIPTION - COLUMBIA 34 pp.

FORMAL GOALS AND OBJECTIVES STATEMENTS

Library Purpose, Objectives and Goals - University of Tennessee 22 pp.

Performance Goals - University of Nebraska 2 pp.

Statement of Mission and Basic Policies - Cornell 8 pp.

Statement of Mission and Goals - Oklahoma State 8 pp.

Basic Objectives - Circulation Desk and Serials Department - University of Connecticut 14 pp.

Long Range Plan to 1984 - University of California at San Diego 7 pp.

Statement of Purposes, Goals and Objectives - University of Washington 2 pp.

ANNUAL REPORT BASED ON GOALS AND OBJECTIVES - COLUMBIA 7 pp.

SELECTED PORTIONS

REPORT OF THE MANAGEMENT STUDY OF THE UNIVERSITY OF WASHINGTON LIBRARIES
APRIL - NOVEMBER 1973

CHAPTER II

GOALS AND OBJECTIVES

The intent of this chapter is to relate the goals of the Libraries to those of the University, to describe the present use of goals and objectives within the Libraries, and to make recommendations regarding a more effective process of formulation and usage of a goals and objectives hierarchy within the organization.

In order that the reader understand what is meant in the text of this report by the terms "goal", "objective" and "activity", they are defined here:

Goal	- a long-term mission or policy statement describing the direction in which the organization is moving.
Objective	- a specific result to be achieved within a stated period of time, e.g., the Libraries will establish an industrial information service to be fully operational by June 1, 1974.
Activity	- a task which is an element of an objective and contributes to its achievement, e.g., the Libraries will establish and fill a position for an Industrial Information Service Librarian; this librarian will contact at least 25 industrial concerns west of the Cascades to publicize the service by January 15, 1974.

University Goals and Their Implications for the Libraries

In October 1972 the University Advisory Committee on Planning issued A Planning Outline for the University of Washington. The University intends to develop a strategic plan based on the Planning Outline. . ., but has not yet done so. Understanding that a statement of goals is essential to the planning process, a "Statement of Goals" was developed and is appended to the Planning Outline. . . Following is a summary of an analysis of the "Statement on Goals" indicating implications for the Libraries and assessing the compatibility of the University's stated goals with those of the Libraries.

The University's "Statement on Goals" is divided into four sections: Purposes of the University of Washington; Academic Policies; Basic Requirements for Accomplishing the University's Purposes; and Operating Policies. The "Purposes" section presents in a brief, general statement the University's responsibilities to provide educational programs, conduct research, promote scholarship, and offer society, and in particular, the State of Washington, certain services. Implicit in the statement is the Libraries' responsibility to develop comprehensive, in-depth collections in the areas of interest to the teaching and research staff, maintain a wide variety of services to support the broad range of educational and research programs, and provide information and service to society and particularly the State of Washington, its individual citizens and public and private organizations.

The section on "Academic Policies" speaks of the University's intention to "[extend] its instructional program in a selective way" including concern for "particular interests and resources of the Pacific Northwest," which implies that the Libraries must maintain their aggressive, comprehensive program of collecting materials of this geographic area. The University's goal of "[offering] opportunities for continuing studies" obligates the Libraries to maintain an awareness of the needs of continuing education students and to develop ways to meet these needs, e.g., by facilitating off-campus access to library materials and services. Library efforts to effect balanced growth and development of programs and collections on a state-wide basis are encompassed in the University's commitment to "[cooperate] with all state educational institutions and agencies." Finally, the Libraries must be mindful of the need to adapt to changing library-use patterns caused by the University's intent to "[develop] cross-disciplinary research, service and instructional activities."

The "Basic Requirements" call for the attraction and retention of a distinguished faculty and varied student body with high potential. This implies that the librarians must also be of high quality, and the Libraries be of such quality as to serve as an attraction for potential faculty members who, in turn, serve as an attraction for students. This section also calls for the preservation of academic freedom, which affects the library staff in their professional and personal pursuits as well as other groups in the University community. Further, this section calls for the University to "provide the diverse and specialized facilities, materials and services needed to support its academic programs," which implies for the Libraries continuing development of innovative programs and use of new technologies to meet the challenge of a very large student body and an increasing mass of knowledge.

The section on "Operating Policies" encompasses a variety of concerns. The University's commitment to ensuring equal opportunity implies that the Libraries must continue to adhere to the affirmative action policy. The University's goal of providing services "in the most economical and efficient manner possible" must certainly be shared by the Libraries as they attempt to analyze their internal management. The University's intention to incorporate "into its governing process the inherent diversity within the community" has two major implications for the Libraries' staff. One is that the staff must continue to press for a more effective voice in University governance. The other is that communication with faculty and students regarding library matters must be increased. Finally, the Libraries, when expanding, rearranging or building new library facilities, must share the University's commitment to "high regard for aesthetics and environmental quality."

For the complete "Statement on Goals" and detailed implications for the Libraries see Appendix A.

Library Goals

Development

The present "Statement of Purposes, Goals and Objectives for the University of Washington Libraries" was written by a subcommittee of the Services Council of the Association of Librarians of the University of Washington (ALUW). This Association was established in 1969 as a result of the desire on the part of the librarians to have a greater role in the managing of the Libraries and thus to be able to have a greater feeling of identification with the Libraries and library programs.

The "Statement of Purposes. . ." was drafted by the subcommittee in early 1971, subjected to hearings before the librarians, rewritten to accommodate suggestions made at the hearings, and then transmitted to the Director of Libraries for consideration for adoption as an official library document. It was so adopted after the Director had consulted with the Administrative Conference (AdCon) on the matter and was issued as Library General Order 52 (G.O.52), dated 19 January 1972. There had been no attempt to utilize this document in deriving a hierarchy of goals and objectives until 1973 when three long-range planning groups were appointed (one each for humanities, social sciences, and science). This activity will be discussed in more detail below. To date no mechanism for periodic review of the document has been established.

For the complete "Statement of Purposes, Goals and Objectives for the University of Washington Libraries" see Appendix B.

Analysis

The "Statement of Purposes, Goals and Objectives for the University of Washington Libraries" (G.O.52) is, as it should be, one of long-range, broad intent. It is clear that there is no incompatibility between the University "Statement on Goals" and G.O.52, although there are in the University document a number of implications which have not been explicitly addressed by the Libraries. Furthermore, in spite of the assertion in the preamble of G.O.52 that it should be "the basis of . . . current operations," it gives little guidance in the setting of priorities.

Explicit statements of the library implications of University goals and guidance in current operations should be encompassed in revisions in G.O.52 itself and in a comprehensive description of tangible objectives and specific activities designed to contribute to Libraries and University goals. One example, as noted in the preceding section, is the Libraries' responsibility for continued development, and increased utilization of their unique collections and functions. Another concern, which should result in a modification of G.O.52, is related to the mechanisms for monitoring environmental changes, discussed in Chapter I. G.O.52 notes the need to maintain a dialogue with the "academic community" but does not include mention of the University administrative staff which has often proved a good source of information.

It should also be noted that the obligations placed on the Libraries by the University do not encompass their entire scope of responsibility. The Librarie are involved in interlibrary loan and exchange programs. Librarians have an obligation to share their expertise through participation in professional organizations and other professional activities. The prominence of the Libraries on the local, state, national, and international level must be maintained. These responsibilities are implied to some extent in G.O.52.

There were a number of concerns identified during the course of this study which must be also included in a comprehensive goals and objectives hierarchy. Of particular note were the need to improve the coordination of library functions; the need to publicize more effectively the resources and services on the Libraries; and the need to encourage library users to utilize staff assistance.

Library Objectives

Use

A survey via interviews of the Director, Associate Director, Assistant Directors, division heads, Planning Assistant, systems head, heads of three branch libraries, a section head, one other librarian, and a classified staff member, was made in an effort to elicit information about objectives and activities, either written or unwritten. Those interviewed had definite ideas of what their units should be doing and what role their units play in the functioning of the Libraries. These ideas were generally in the form of system or unit objectives and in every case support or contribute to the basic purpose of the Libraries. However, there was no evidence of written objectives statements, either system-wide objectives to be used as guides for units, or individual unit objectives (with the exception of the Reference Division and the Undergraduate Library) to serve as guides for staff members. There was little evidence of the existence of any activities which might have been used to pace the progress toward unit or system objectives.

A number of objectives voiced by individuals do reflect current needs of the University and the Libraries. Several people stated as an objective the creation of an automated circulation system. It is expected that this system would handle circulation records more efficiently, since the size of the University community is such that the present system for locating materials is simply inadequate. Another need which has given rise to an informally expressed objective is for speedier processing and retrieval of information. The present volume, variety, and complexity of materials has created the need to identify methods of obtaining, handling and servicing resources which take less time, without sacrificing quality. Also, the trend towards interdisciplinary studies has resulted in a change in library-use patterns and caused a number of people interviewed to voice concern over the changing pattern and, in some cases, to state that the branch configuration should be examined.

Analysis

No mechanism exists for the staff to establish and periodically review objectives for the system. If such a mechanism did exist, the objectives and concerns stated above could be included in a broad array to be regularly examined by the staff: discussed, altered, discarded or accepted, prioritized, and then

BEST COPY

fully supported. Having such a formal overall objective-setting process would:

1. Provide a solid base upon which to make budgeting decisions

2. Provide guidance regarding programs and a framework for the formulation of policy statements

3. Provide for system-wide coordination of the setting of unit and division objectives and activities, to minimize conflicting priorities at this level

4. Tend to minimize the placement of certain functions in appropriate units

The interviews did not disclose a heavy involvement of staff at the unit or divisional level in deciding what the role and tasks of the particular units and divisions are. In two separate instances, important functions were not mentioned when division heads described their division's role in the system. Another interviewee stated ignorance of her unit's goals and objectives, although there was a statement of goals for the unit. It is important, in setting unit and divisional objectives and activities, to consult with the entire staff. This provides an opportunity for all aspects of the operation to be considered and also generates support from the staff in carrying out the tasks that lead toward the goals.

As was noted on page 24, the Libraries are currently undertaking a long-range planning program, which has begun with the establishment of planning groups involving 38 librarians. The document which they produce is to be reviewed by the entire staff and then by representatives of the faculties of each of the academic departments. It is hoped that this program will eventually be brought to the level of establishing objectives and activities by library units and will be an ongoing, regularly reviewed process.

Recommendations

1. The Libraries' "Statement of Purposes, Goals and Objectives" should reflect its responsibility to maintain and develop its unique collections.

2. The Libraries' "Statement of Purposes, Goals and Objectives" should reflect its responsibility to develop and maintain a formal communication link with the University Administration.

3. The Library should establish a complete hierarchy of goals and objectives which would range from a statement of broad intent (the present G.O.52), to system-wide objectives which would give guidance in priority setting and budget allocation, to unit-level objectives and activities which have explicit in them means for measuring progress toward their achievement.

4. A regular, formal procedure should exist for the establishment of new goals and objectives when needed, and for the review of existing ones in the light of emerging needs or trends and the changing resources and skills of the Library system within the context of the University and the wider community

BEST COPY

which the Libraries serve.

5. The entire library system should be involved in the process of setting and acting on system-wide goals, objectives and activities and should participate in the trade-offs necessary for their achievement.

6. In setting unit objectives and activities, the entire staff of the respective unit must be involved to make certain that every aspect of the operation is represented and to build as much support as possible for the activities identified in the process.

7. All the goals and objectives set at all levels should contribute to the basic purpose of the Libraries and of the University.

Objectives Task Force

Elizabeth Barber
Nancy Blase
Teruko Chin
Daniel Orr
Margaret Tjaden, Chairperson

June 1973

BEST COPY

SELECTED PORTIONS OF:

MANAGEMENT REVIEW AND ANALYSIS OF THE UNIVERSITY OF ROCHESTER LIBRARY

FINAL REPORT OF THE MRAP STUDY TEAM

IN TWO VOLUMES

VOLUME I

Sue Bollmann
Nancy Crane
Susan Moore
Arleen Somerville
Karen Tschanz
Sul H. Lee, Chairperson

June 28, 1974

BEST COPY

Library Mission, Objectives, and Goals

There is no formal, written statement of the mission, objectives, and goals of the Library, nor are there statements of these for Library units. There have been several indications that such statements are needed.

In May 1971 the Director of Libraries appointed an Advisory Committee on Program Evaluation and Priorities (PEP). Very early in its work, the committee came to the realization that evaluation of the Library's programs, and ranking of priority activities within them, required a clear understanding of the Library's mission, objectives, and goals. Because these had never been explicitly defined, PEP, with the encouragement of the Director, spent a considerable amount of time working toward their development. The committee went into recess in May 1972 without completing its work, in anticipation of the participation of the Library in the Management Review and Analysis Program (MRAP).

During the MRAP study, additional indications of the need for written statements arose. Responses to MRAP surveys[8] indicated that it could not be assumed that the entire Library staff shared a common understanding of the Library's mission, objectives, and goals, nor of unit goals. There was general agreement at the department head level that the Library ought to support the teaching and research of the University, however. In the surveys, a number of respondents offered unsolicited comments on the need for Library goals to be stated in written form and communicated to staff. Also, MRAP Task Forces have repeatedly recognized the need for written statements in their reports.

---

[8] Needs Assessment Survey of Department Heads; MRAP Staff Survey.

It is not the function of MRAP, nor of the MRAP Study Team, to formulate statements of mission, objectives, and goals for the Library or its units. In the course of the MRAP study, preliminary work done in this area has been examined, however, and a variety of information has been collected or developed which should be considered as input for the formulation of a written statement for the Library, and by derivation, for its units.

Prior to the MRAP study, the work of PEP was a formal, if partial, attempt to define the Library's mission, objectives, and goals. The committee studied the work done by several other libraries, particularly that done at Cornell University under the guidance of the American Management Association. It favored adopting a hierarchical arrangement in which the mission would be a broad general statement of the purpose of the Library, objectives would be continuing aims of the Library, and goals would be specific activities which could be completed within a given time period. In February 1972 PEP came up with a preliminary draft of Library objectives and goals,[9] but it had not drafted a Library mission statement at the time it went into recess in May 1972.

During the MRAP study, additional information was collected and developed. As a prelude to the study, the Director of Libraries supplied the MRAP Study Team with a provisional statement of the Library's Mission and Continuing Objectives.[10] A large portion of the effort of the Study Team during the first three months of its work was devoted to developing the information summarized in the earlier portions of this chapter. The methods used included a study of current educational trends, collection and review of existing University documents and other publications, and interviews with fifteen administrators of the University. The resulting information on the mission, objectives, and goals of the University and its response to trends, the implication of these for the Library, plus information outlined above should be considered as input for the formulation of a written, definitive statement of the Library's mission, objectives, and goals, which can be used as a basis for formulation of statements for Library units.

---

[9] See Appendix I. [10] See Appendix II.

It is important that the Library develop a method for identifying changes and analyzing trends within the University which affect the Library. Changes in University mission, objectives, and goals point up a need for review and revision of those in the Library. An MRAP survey of Library department heads, subject bibliographers, and Library administrators[11] was used to identify mechanisms currently existing which might be useful for this purpose. The survey showed that much of the University information necessary for review of Library mission, objectives, and goals is currently received in the Library. There is no procedure now for consolidating, analyzing, or effectively utilizing this information, however.

Conclusion

The Library needs an overall statement of mission, objectives, and goals, and statements of these for its units, around which to build its services and programs in a more rational and more effective manner. As a unit of a larger system, i.e., as a service group within the University, it should not do this *in vacuo* but should consider University mission, objectives, and goals, and develop its own statement consistent with that of the University. Similarly, unit statements should be derived from that of the Library.

---

[11] MRAP Environmental Analysis Survey.

To formulate such statements is insufficient, however. To remain valid, they should undergo periodic review and revision in response to change in University mission, objectives, and goals and to other environmental changes. Review and revision thus require a mechanism for identification of environmental changes within and exterior to the University which affect the Library, as well as an on-going method for consolidation and effective utilization of this information.

APPENDIX I

Committee on Program Evaluation and Priorities

Draft Outline of Library Objectives and Goals

I. Secure materials needed to support the curriculum and research of the University and provide for adequate preservation and conservation of these materials

__________ improve materials budgets
__________ improve binding budget to provide a program for replacing, rebinding, mending, etc. in addition to the ongoing binding program
__________ bibliographers in Reference Department to work on collection development
__________ policy on non-book materials - a.v. and machine-readable data bases
__________ interlibrary loan support
__________ program for soliciting gifts
__________ program for acquiring free foreign government documents
__________ examine possibility of substituting microfilm for some hard copies of periodicals
__________ continuing study of climatic control in stacks

II. Organize these materials for easy access and use

__________ publish NRU Union List of Serials
__________ establish bibliographic center
__________ pursue ways of automating library functions
    automated circulation system
    OCLC for cataloging
    automated serials control system
__________ systems study of Technical Services activities for possible economies
__________ re-examine policy in regard to existence of department libraries and reading rooms

III. Provide bibliographic tools and services which will assist in library interpretation

__________ bibliographers in Reference Department
__________ eliminate processing backlogs
__________ establish priorities for cataloging
__________ guide to NRU government documents collection

IV. Work with other agencies in cooperative efforts to make library resources available more widely and less expensively

________ Center for Research Libraries
________ RRRLC
________ ILL support
________ formal cooperation with the University's Data Processing Center (e.g., possibility of assigning a systems analyst to the library)
________ union catalog to include River Campus, Sibley, Miner, and Colgate-Rochester

V. Communicate knowledge of these collections and services and their development to all members of the academic community.

________ orientation
________ bibliographers in Reference Department
________ government documents materials
________ microtext materials

VI. Provide an organized program for staff development

________ orientation to the library
________ working knowledge of library departments and services for all professional staff members
________ continuing education program
________ regular meetings for professionals who are not department heads
________ improve communication between library administration and staff

APPENDIX II

TO: MRAP Study Team

FROM: Ben C. Bowman, Director

SUBJECT: Provisional Statement of the Library's Mission and Continuing Objectives

MISSION

To provide as much bibliographical, physical, and intellectual access to recorded knowledge and information as is consistent with the University of Rochester's present and anticipated academic and cultural concerns and resources.

CONTINUING OBJECTIVES

To accomplish its mission the Library's continuing objectives are:

1. Continuous organizational and administrative development of ability to anticipate, evaluate, and plan.
2. Utilize resources and apply new technology with increasing effectiveness.
3. Augmentation of financial support.
4. Rational collection development.
5. Increasingly effective service.
6. Staff development.
7. Engagement in mission supporting cooperative library programs and networks.

[redacted]

SELECTED PORTIONS OF:

DETAILED ORGANIZATION DESCRIPTION
OF THE
COLUMBIA UNIVERSITY LIBRARIES

COLUMBIA UNIVERSITY LIBRARIES
NEW YORK
JUNE 7, 1973

TABLE OF CONTENTS

CHAPTER I

Introduction I 1.1

CHAPTER II

Office of the Vice President for Information Services and University Librarian II 1.1

Personnel Office 2.1

Planning Office 3.1
  Financial Services Office 3.3
  Systems Office 3.5

CHAPTER III

Library Resources Group III 1.1

  Resource Utilization Office 2.1

  Resource Development Division 3.1

  Bibliographic Control Division 4.1
    Catalog Editing Department 4.3
    Catalog with Copy Department 4.5
    Law Cataloging Department 4.7
    Medical Cataloging Department 4.9
    Music Cataloging Department 4.11
    Original Monographs Cataloging Department 4.13
    Serials Cataloging Department 4.15

CHAPTER IV

Library Technical Support Group IV 1.1

  Data Control Department 2.1

  Book Acquisitions Department 3.1
    Accessioning Section 3.3

  Serials and Documents Acquisitions Department 4.1
    Documents Acquisitions Section .4.5
    Serials Acquisitions Section 4.9

  Gifts and Exchange Department 5.1

  Preservation Department 6.1
    Binding Section 6.3
    Materials Processing Section 6.5
    Reprography Section 6.7

  Bibliographic Searching Department 7.1

  Catalog Maintenance Department 8.1

  Card Production Department 9.1

LIBRARY TECHNICAL SUPPORT GROUP
(continued)

- General Services Department 10.1
  - Shipping and Receiving Section 10.3

CHAPTER V

Library Services Group V 1.1

- Humanistic and Historical Studies Center 2.1
  - Access Services Department 2.3
    - Circulation Section 2.5
    - Documents Room 2.7
    - Information and Library Privileges Section 2.9
    - Interlibrary Loan Section 2.11
    - Microforms Section 2.13
    - Paterno Library 2.15
    - Periodicals Reading Room 2.17
- General Reference 2.19
- Instructional Library 2.21
- Music Library 2.23
- School of Library Service Library 2.27

- Science and Engineering Information Center 3.1
  - Access Services Department 3.3
    - Circulation Section 3.5
    - Materials Processing Section 3.7
    - Reserve Section 3.9
  - Reference and Instructional Services Department 3.11
    - Current Documentation and Technical Reports Center 3.13
- Biological Sciences Library 3.15
- Chemistry Library 3.17
- Geology Library 3.19
- Geoscience Library (Lamont-Doherty Geological Observatory) 3.21
- Mathematics/Science Library 3.23
- Physics Library 3.25
- Psychology Library 3.27

- Social Science Center 4.1
  - Access Services Department 4.3
    - Circulation Section 4.5
    - Map Room 4.7
    - Materials Processing Section 4.9
    - Microforms Section 4.11
    - Reserve Section 4.13
  - Reference and Instructional Services Department 4.15
    - Current Documentation Section 4.17
- Business Library [Watson Library of Business and Economics] . . . 4.19
- Journalism Library [Arthur Hays Sulzberger Memorial Library]. . . . 4.25
- Social Work Library 4.29

CHAPTER VI

Standing Committees

- Professional Advisory Committee.............................VI 1.1

- Staff Development Committee.................................. 2.1

INTRODUCTION

In 1969-1970, a preliminary investigation of problems in university library management was commissioned by the Association of Research Libraries in cooperation with the American Council on Education and with the support of the Council on Library Resources, Inc. That investigation found that generally the organization arrangements in research libraries "are too informal, poorly matched to current and emerging requirements and designed without benefit of modern management approaches" and that these institutions often have "inadequate staffing and provision for staff development."

In an effort to examine these issues in greater depth and to strengthen the organization and staffing of research libraries, the Association of Research Libraries sponsored a case study at the Columbia University Libraries, again in cooperation with the American Council on Education and the Council on Library Resources. The study team comprised representatives of Booz, Allen & Hamilton, Inc. and the University Library Management Studies Office of the Association of Research Libraries. Columbia was selected because it is in many ways representative of university and research libraries, and because its administration and faculty are dedicated to constructive change and improvement. Although several general principles and recommendations may be derived from the study, it was not intended to create a prototypical structure for all university libraries. Rather, it was undertaken to help prepare Columbia for its own distinctive future while possibly indicating administrative directions in which comparable libraries might proceed in order to enhance their own operations.

The unit descriptions in this present volume carry the BAH study recommendations to a level of detail even more uniquely identified with the Columbia Libraries. They were developed entirely by the staff of the Libraries as part of the analysis and implementation of the study recommendations. The descriptions are valuable to some degree as general statements of purpose for components of all libraries but they are particularly meaningful as extensions of the case study. For this reason, the complete study report[1] should be examined to achieve the best understanding of the descriptions and their context.

The recommendations of the initial study team were comprehensive and forward reaching. They called for restructuring the Libraries to underscore functional relationships, with special attention to such goals as:

-linking resource development with resource utilization.
-fostering a higher level of expertise in the delivery of services, and
-consolidating the wide range of internal services required to support all aspects of operations of a major academic research library.

This refinement of concepts that fostered the traditional public service/technical service alignment was intended to provide an organization which would respond more effectively to the changing university and service environment and which would be able to provide better opportunities for individuals to develop professionally.

In considering the implementation of this approach to library organization and the reconceptualizations it entailed of the role of the library in the

---

1. Association of Research Libraries,"Organization and Staffing of the Libraries of Columbia University: A Case Study," Redgrave Information Resources Corporation, Westport, Conn. 1973.

University, several needs were apparent to the Libraries' administration. First, because of the size of the Libraries and their complexity, there was a need to thoroughly analyze and refine the recommendations to be sure they were realistic and viable. For the same reasons, it was necessary to specify in detail what the organization would be and how it would work. Finally, it was important to achieve within the staff the broadest comprehension of the significance of the report and its implications by engaging the maximum number of professional staff members in the analysis and determination of the new structure and operating mode. Widespread participation would apply to these tasks the collective intelligence and breadth of library experience represented in the staff, whether that experience derived from years of responsibility in librarianship or recent graduate study in library school. It would allow scrutiny of the recommendations by library professionals intimately familiar with the Columbia library system to ensure that the proposed organization changes would work. Above all, it was believed essential to the spirit of the recommendations and to the success of the changes that the staff play an active role in determining the structure and direction of the new organization.

When the work of the Booz, Allen & Hamilton study team was complete, their report was thoroughly reviewed at all levels of the Libraries' administration and staff. The Director of Libraries, with the study team, conducted a series of staff meetings to describe and explain the recommendations. These provided opportunities for the staff to understand the report and its implication, to discuss them and to respond to them. All staff members were invited to write their reactions to the report and any of its particulars. The Libraries' eight standing committees were also requested to review the report in the context of their special interests. Out of these meticulous review efforts some seventy pages of comments came as memoranda and reports. The consensus was that the concepts and recommendations of the study were fundamentally sound and logical, and that the Libraries would benefit from their application to our environment. Staff members disagreed with some specific details of the recommendations, but basically accepted and supported the general changes proposed.

It was clear when the report was issued that the study and its recommendations were thorough, but not detailed enough nor of a nature to permit their direct implementation. They were regarded as guidelines for the Libraries organization and responsibilities, but not necessarily as complete nor sacrosanct specifications. The initial review activities were the first steps in a careful examination of the report and delineation of organization details which could be installed in an orderly manner with minimal disruption to service and operations. The work of preparing the Libraries for the new structure and staffing was conceived as a planning process independent of the actual implementation, with the planning to proceed in three discrete but interrelated phases concerned with organization, staffing, and operations. The first phase, the Organization Definition, resulted in the unit descriptions included in this volume. Since their completion, the organization has been restructured according to the charts in each chapter. Key administrators and staff members have been designated and new reporting relationships established. The transfer of responsibilities is currently under way and is expected to take about six months.

Phase two, the Staffing Description, determined general staffing patterns and assessed the immediate impact of the new administrative structure on all professional staff responsibilities. This work indicated that in almost all cases positions remained functionally unaffected by the changed reporting and authority arrangement. Rather, there was a one-for-one correspondence between most positions in the old and new organization. Some new positions were created and some old positions with identifiable counterparts in the new organization were reconstituted. All the affected positions were described in detail based on the description of their parent unit in order to help individuals understand the scope of their new responsibilities. These position descriptions also contributed to the recruiting process and staffing of the new organization by delineating each position carefully enough to establish qualifications and seek candidates for it.

In independent, but related set of staffing activities, the Personnel Office, through a special task force, developed a two-track schedule of position catagories and professional ranks. This classification scheme along with the programs of staff performance evaluation and management training already administered or planned for the near future are additional tools which have been introduced to assist the staff development process.

Phase three, Operations Planning, has been a continuing effort directed toward the programs of the Libraries. It has resulted thus far in a restructured budget, the development of a program accounting technique of cost analysis, the creation of a permanent planning structure based on a high level planning and policy committee, and the establishment of a format and outline for a coordinated policy manual to guide decision making and encourage the distribution of authority throughout the Libraries.

The progress which has been made in planning and implementing the study recommendations was possible in large part because of events which took place within the University administration at the same time that the study team was engaged in its work. In an independent and unrelated effort, the University administration undertook a review of the University's organization structure. Among other findings, they concluded that all of the University's information resources would be more effectively coordinated with academic programs if they were better integrated into the University's academic planning and decision making structure. Toward this end, a new position was created within a reorganized University administration -- Vice President for Information Services and University Librarian, reporting to the Executive Vice President for Academic Affairs. This position was assigned responsibility for the University's major information and academic technology resources, the Libraries and the Computer Center, as well as for several other diverse but related academic information units. Although the study team recommended that the University Librarian be a vice president, the action of the University, based on its own perception of its needs, went beyond that recommendation by its administrative consolidation, at the vice presidential level, of libraries and all other information resources. In both cases the underlying principle was the same, namely that academic programs and their information based support are intimately related and that planning for both of them should take place in concert.

In a sense, although the University's decision was independent of the case study, it had the effect of beginning the implementation process. Several other key recommendations of the study were implemented shortly after the report was published, and these were instrumental in getting the full scale implementation started. The Planning Office was established with the designation of an Assistant University Librarian for Planning, and the Personnel Office was reoriented toward the recommendations through the designation of the Assistant University Librarian for Personnel. Two standing committees were established as a means to apply in special situations the experience and competence of professional staff members at all levels of the organization. The first of these, the ten-member Professional Advisory Committee was charged with providing comprehensive professional advice and counsel to the University Librarian, and with conducting specific studies in professional areas. The second, the six-member Staff Development Committee was made responsible for the review and recommendation of staff development plans and for individual professional staff performance review for purposes of recommending professional advancement. Each of these committees was to accomplish its special studies through the appointment of special task forces drawn from throughout the Libraries as well as from within the committee itself.

The designation of these positions and the appointment of the two committees to replace the former eight standing committees provided a framework within which the detailed planning for the new organization could take place.

The actual procedure followed during the Organization Definition phase of planning which produced the unit descriptions of this volume was coordinated through the Professional Advisory Committee. The Committee formed the core of three major task forces of twenty-two, thirty-three and fifteen members respectively. In total, about half the professional staff of the Libraries actively participated in the work. The first task force reviewed the basic premises of the study report at the highest levels of the recommended organization. It validated or modified the structure of the first and second levels of the organization and carefully described all the units comprising these levels. Based on these unit definitions, the second task force extended the descriptions to the most detailed level of the organization, making modifications to previously defined units or structural relationships based on further scrutiny and analysis. The third task force addressed itself to the so called allied libraries. After each round of analysis and definition, the work was reviewed by the Libraries' staff, the senior administrative body of the Libraries, and the Professional Advisory Committee.

At each major level of definition, the working procedure of the task force was the same. The task force was divided into three sections, each with PAC representation and a PAC member chairing the section. The task force met as a whole to discuss issues of general concern, and as sections to address issues relating to the group of units the section was working on. The sections formed two or three-person teams to prepare the detailed descriptions.

Each unit was defined in terms of its objectives, functional responsibilities, reporting and working relationships and performance criteria. As the descriptions were being prepared, it became apparent that certain definition elements were common to all units, whether service, resource or support oriented in their activities. These objectives, functions, and performance criteria as well as a general statement concerning reporting responsibility were compiled and listed separately to highlight them, to make the individual descriptions somewhat easier to work with, and to keep the more specific elements within each description from being obscured by the general items. Hence, each unit definition is comprised of two sets of elements which are equally important in guiding the performance of the unit. They are distinguished only by the fact that one applies to all units, and the other is more specifically related to an individual unit or small group of similar units.

The charge to the task forces called for them to consider thoughtfully the case study recommendations and the review documents prepared by the staff in response to the study. They were urged to consult with knowledgeable staff members when necessary in order to resolve issues but not to re-create the study. Instead, to work with the study report as a guide and to develop in detail for the proposed organization the elements and relationships which would achieve the principles of the report. If conflicts arose with the study recommendations or within the task force, the members were urged to seek facts and make decisions. The task forces responsibly fulfilled their charge and created an organization which has been acknowledged throughout the Libraries as adhering to the spirit of the study and delineating a realistic and effective administrative structure. Where the revised organization varies from the original memorandum, the differences are logical refinements which preserve the essence of the recommendations while contributing to more effective coordination of library activities, orderly transition to the new arrangement, and implementation within the limits of existing budgets. The following are highlights of the differences between the recommendations of the study team and the final work of the task forces:

In the Services Group, the Fine Arts Library and architecture instructional collection (Ware Library) were administratively and bibliographically maintained as integral parts of the Avery Architecture Library, reinforcing the distinctive character of this outstanding architecture and design collection. Interlibrary loan services were retained as a central operation for greater efficiency. On the other hand, as some minimal amount of decentralized material processing was considered essential for instructional reserve and other items requiring fast accessioning, small material processing sections were added to the Science and Social Science Centers, areas which are without immediate physical access to the central processing section. The Instructional Materials and Services Departments of the original recommendations were changed to Reference and Instructional Services Departments to expand and emphasize their role in directly assisting users with library resources. Because of the nature of reserve operations, they were included in the Access Services Departments of the Centers. Current documentation and technical reports services were seen as close to reference and other more individualized types of service, so they were affiliated with the Reference Departments of the Science and Social Sciences Centers.

In the Resources Group, the Bibliographic Control Division was organized functionally rather than by subject specialty, in order to permit greater flexibility in work scheduling and to facilitate procedural control. The resource development function was distinguished from resource utilization and organized as an administratively comprehensive unit with discipline specialization within it. Its purpose in providing effective coordination of collection policy and academic relations, library wide, remained unchanged. The Resource Utilization Office was conceived as a design unit to create and implement in service centers innovative library programs which would capitalize on the material and staff resources of the Libraries.

The major change in the Technical Support Group was the elimination of virtually all intermediate levels of administration to achieve an organization of autonomous but directly coordinated production oriented units. The systems development office, because of its breadth of concerns, need for high level support, and role in advanced planning, was removed from the Support Group and made an administrative part of the Planning Office. Similarly, the nature and level of responsibilities of the Financial Services unit recommended its assignment in the Planning Office.

The only organization units which remain to be described are those which were designated as distinctive collections in the case study. As the implementation of the basic operating organization proceeds, these somewhat more complex and unique libraries - the Law, Medical, Architecture, East Asian, and Special Collections Libraries, and the anticipated University Archival Collections - will be studied and broadly defined, applying the experience we have gained thus far. In this review and analysis, we will be guided but not constrained by the study report and the basic organization definition, recognizing that these distinctive collections are of a character which may call for a different administrative structure.

The organization description process afforded an opportunity for widespread, thoughtful consideration to be given to the role each functional unit would play in the context of the overall Libraries mission, and to what criteria might be used to measure the fulfillment of that role. The thoroughness and comprehensiveness of this analysis and organization definition activity were important for several reasons. The proposed organization embodied some new conceptualizations of the place of the library in the University environment. The analysis and discussion to determine the new structure provided a mechanism for each individual to reassess his position in the context of these new relationships and to fully realize the potential and significance of the changes. One of the primary goals of the reorganization was to provide better opportunities for individuals, at their choice, to broaded their experience, take advantage of their diversity of interest and expertise, develop professionally, and consequently function more effectively and in a more personally satisfying manner. The intense analytic and evaluative activity of the organization definition permitted the staff to develop an understanding of the Libraries current and evolving organizational purpose and their role in it in terms which could ultimately be linked to individual objectives and be made meaningful in personal terms.

Hence, the articulation of the Libraries' reason for being and structure was significant for its invovlement of a majority of the professional staff at all levels of experience and responsibility, and for the opportunity it afforded them to influence the direction and form of the organization. However, the process was equally important for the organization plan which resulted. In addition to a set of operating relationships, it has formed the basis of a structure and procedure for the ongoing planning and review of library activities on an individual as well as a unit basis. The unit definitions are a documentary base for the periodic examination of goals, evaluation of progress or activity relative to those goals, and adjustment of resources as conditions or objectives change. Along with Libraries policy, they are a set of general operating guidelines and a base for program planning.

We intend to sustain at an effective level staff participation in operational planning and review so that this initial effort will not gradually become a legendary event unrelated to the continuing service commitment of the Libraries. We hope this work was an initial experience in our movement toward a participative environment in which the staff will be more personally involved in the ultimate purpose of the Libraries through comprehension both of that purpose and of their role in achieving it.

The case study was undertaken in part because of the dynamic nature of the academic and research library environment and the desire to make these libraries more flexible and responsive to changing needs. Implicit in the results of the study and the subsequent implementation effort were the climate and potential for change in the new organization. The unit definitions were prepared as a description of the organization at time zero. They reflect the perceptions of the study team and the Libraries staff at the point of completion of the study and are, not unexpectedly, biased in some of their details toward familiar or traditional operating modes. This is reasonable, since the Libraries will continue to function as libraries. This fact is evident in the definition of their components, and it naturally imposed logical constraints on the structure of the new organization so that certain elements retained their traditional functional relationships. If there is conservative bias in the new structure, it is in some respects desirable. The change in organization and operating patterns will require changes in individual staff and administrative behavior. It would be unrealistic to expect these changes to occur abruptly. Moreover, it would be counterproductive in terms of staff reaction and operational continuity. The changes will involve education, individual exploration of different approaches, testing of new personal modes, and gradual movement towards more effective ways of operating. The capability and desire to develop in these ways vary greatly among individuals, and it is important that everyone be able to choose growth patterns according to his own personal and career objectives.

Thus, the new organization as it has been described during the implementation planning is the starting point for the evolutionary change which the case study and restructuring were intended to permit. To the extent that descriptions of similar units are uniform or consistent, they reflect the consensus of the task forces. In time, the descriptions will evolve toward a more individual character, as each unit's self perception is influenced by its unique administrative or operating style and needs. The unit descriptions are working tools. As we continually review the objectives and other aspects of the Libraries organization and performance, validating or modifying elements as goals or academic priorities change, details of the unit definitions and even structural relationships will change. The objectives were not developed as specific, time oriented targets, but rather as broad goals motivating the unit or expressing its reason for being. It will be a primary purpose of the ongoing planning effort to translate these general goals into more directly measurable objectives and relate them more immediately to performance criteria. In some areas there is a need for informative or evaluative reports to effectively monitor activities and support decision making. The development of appropriate reporting mechanisms will be a feature of the continuing implementation of the study report and unit descriptions. The administrative titles used in the descriptions are interim position descriptors intended to afford the maximum flexibility in designating individuals to these responsibilities. Some of these are likely to change as the organization progresses. As the unit definitions evolve toward more specific reflections of the organization elements they describe, their full value to the Libraries as a mechanism for self evaluation and improvement should be realized. We look forward to the enhancements of our service and operations these tools are meant to bring about, and to the challenge of achieving them. This is the most difficult part of the overall effort, and the part that is about to begin.

COLUMBIA UNIVERSITY LIBRARIES
COMMON ORGANIZATION DEFINITION ELEMENTS

Objectives

1. Enhance knowledge of library procedures and facilitate decision making by the maintenance of statistical and other departmental records.

2. Foster effective relations between the Libraries and: students, faculty, researchers, suppliers, scholarly institutions, funding bodies and government agencies.

3. Encourage the development and implementation of new ideas for improving library service.

4. Foster high levels of motivation and staff satisfaction.

5. Provide opportunities for staff development.

6. Encourage the improvement of work flow procedures.

7. Integrate the goals of the unit with overall library goals as well as with those of its superordinate units.

Functions

1. Participate in planning for the University Libraries.

2. Participate in the development of policies and procedures related to activities involving the unit.

3. Maintain effective working relations.

4. Maintain appropriate and accurate statistical and other departmental records.

5. Develop and use quantitative and qualitative measures for continual self-evaluation.

6. Keep areas assigned to the unit in proper and orderly condition and work with the Facilities and Supplies Department and Building and Grounds to ensure that these areas and equipment are adequately maintained.

7. Participate in the development and implementation of staff training programs.

Performance and evaluative criteria:

1. Staff attitudes and development
2. Cost-effectiveness.
3. Integration of the goals of the unit with other library goals.
4. Timeliness, accuracy and appropriateness of unit statistics.
5. Effectiveness of working relations.

Reports:

Each unit is responsible for periodic reports to its parent unit and informational reports from the head of the unit to his/her staff.

PERSONNEL OFFICE

Principal Administrator: Assistant University Librarian for Personnel

Parent Unit: Office of the Vice President for Information Services and University Librarian

Role: To coordinate the recruiting, hiring, training and development of the staff of the Libraries.

Objectives

1. Recruit, hire and allocate the human resources of the Libraries properly and effectively.

2. Develop, within the framework of the Trustee's allocation, an equitable and realistic compensation schedule.

3. Improve library service and operations through the application of sound personnel policies and training programs.

4. Collect and organize data pertaining to the human resources of the Libraries, and use these to help attain the Libraries' objectives.

Functions

1. Recruit, hire, and place staff for the Libraries.

2. Participate in University manpower planning.

3. Formulate manpower plans for the University Libraries, in consultation with the Libraries Planning Office, and submit them to the Vice President for Information Services and University Librarian.

4. Recommend and implement personnel policies within the Libraries.

5. Recommend, implement and coordinate staff development plans and training programs for the Libraries professional and supporting staffs, emphasizing progress toward personal performance and career goals.

6. Provide staff assistance to the Staff Development Committee.

7. Develop and administer a regular program of individual staff development to assist staff members in defining career objectives and delineating courses of action through training and experience, which will lead to achieving those goals.

8. Administer personnel activities.

9. Maintain effective working relationships with unions representing Libraries staff.

10. Represent the University Personnel Office within the Libraries.

11. Act as a clearinghouse for all information relating to employees of the Libraries from sources within and outside the University.

12. Administer and control the Libraries payroll.

4/12/73

Key Working Relationships

1. University Personnel Office
2. Planning Office
3. Various organizational components of the Libraries in matters pertaining to the human resources of the Libraries.
4. All unions having relationships with the Libraries.

Reports

Personnel reports, relating to the Libraries, to governmental agencies, educational associations, and other organizations of a like nature.

Performance and Evaluative Criteria

1. Availability and reliability of accurate personnel data.
2. Successful recruiting practices and procedures.
3. Relationships with unions.
4. Validity and usefulness of staff development programs.
5. Ability to anticipate and fulfill the manpower requirements of the Libraries.
6. Satisfactorily servicing the requirements of the University Personnel Office.
7. Accurate administration and control of the Libraries payroll.

OFFICE OF THE VICE PRESIDENT FOR INFORMATION SERVICES AND UNIVERSITY LIBRARIAN

Principal Administrator: Vice President for Information Services and University Librarian.

Parent Unit: Office of the Executive Vice President for Academic Affairs.

Role: To exercise general executive responsibility for planning, organizing, staffing, directing, and controlling all Libraries, information processing facilities and technological aids to instruction and research within the University.

Objectives

1. Broadly formulate and assure the implementation of effective library, data processing, and other information based programs in support of the instructional and research activities of the University.

2. Assure the effective use of material and staff resources in the achievement of academic information service objectives.

3. Assure the responsible application of fiscal resources available for information services.

4. Sustain and enhance the level of excellence of the University's information resources.

5. Obtain intellectual and material support from sources outside the University.

6. Establish effective working relationships within the University and with outside institutions.

Functions

1. Organize, control and evaluate activities directed toward satisfying the academic information needs of the University.

2. Designate all subordinate officers and assistants.

3. Establish policies, operating priorities, and rules in support of information service activities.

4. Give continuous study to the needs and conditions of University academic information resources.

5. Exercise stewardship over all property of Information Services components.

6. Represent the University in all matters pertaining to library and information processing resources.

7. Implement University Statutes relating to the subordinate units of the Office.

Key Working Relationships

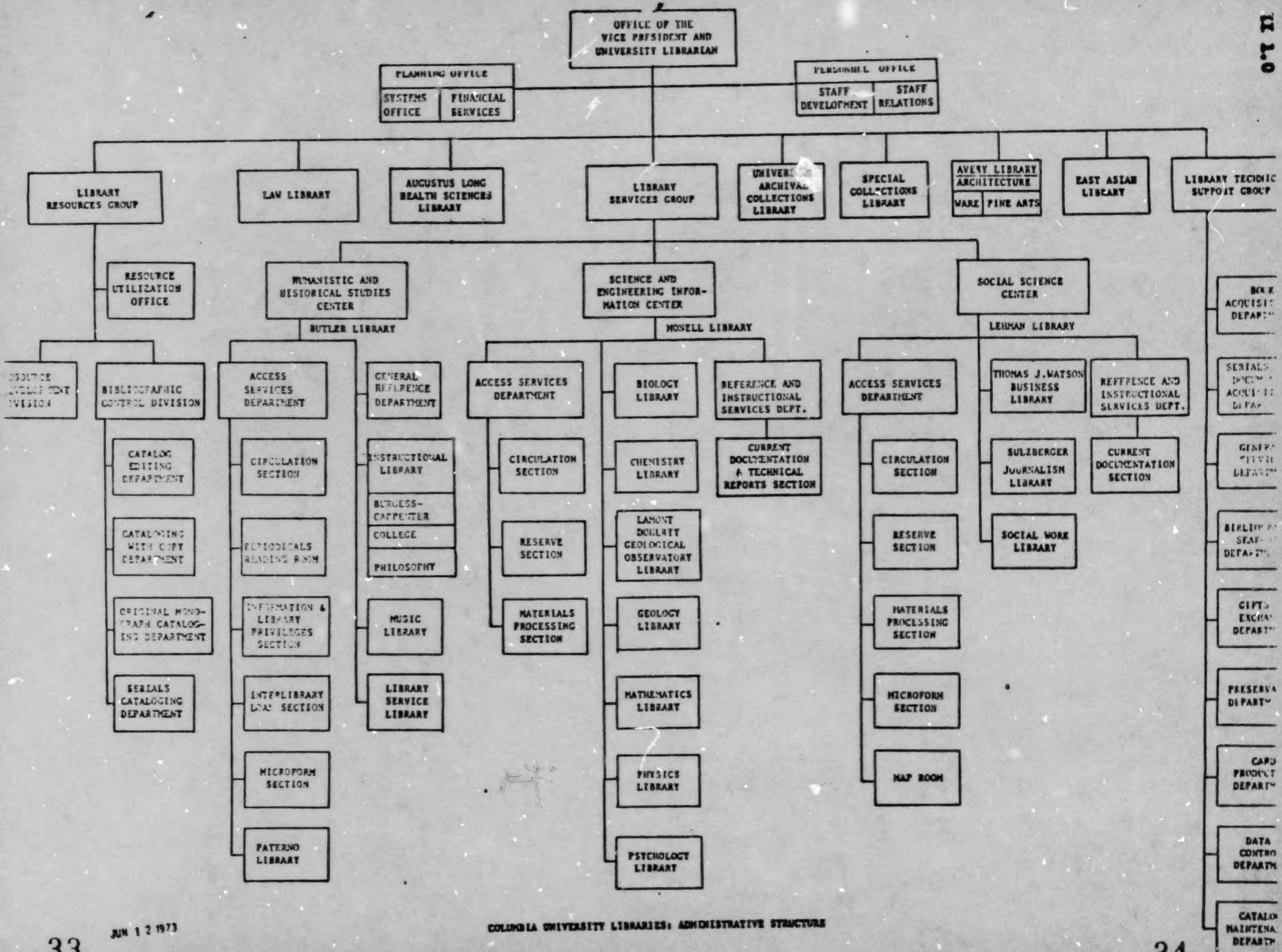
1. Executive offices of the University.
2. University-wide standing committees.
3. Other academic institutions, government agencies, professional groups, and funding agencies.

Reports

Information reports to the University community, University executive offices, and various professional, academic, and government organizations.

Performance and Evaluative Criteria

1. Quality and growth of academic information resources and services.
2. Responsiveness to University academic plans and activities.
3. User and staff satisfaction.
4. Performance within budget allocations and income.
5. Effectiveness of stewardship over University property.
6. Level of outside esteem and support.


OFFICE OF THE VICE PRESIDENT AND UNIVERSITY LIBRARIAN
PLANNING OFFICE
SYSTEMS OFFICE
FINANCIAL SERVICES
PERSONNEL OFFICE
STAFF DEVELOPMENT
STAFF RELATIONS
LIBRARY RESOURCES GROUP
LAW LIBRARY
AUGUSTUS LONG HEALTH SCIENCES LIBRARY
LIBRARY SERVICES GROUP
UNIVERSITY ARCHIVAL COLLECTIONS LIBRARY
SPECIAL COLLECTIONS LIBRARY
AVERY LIBRARY ARCHITECTURE
WARE
FINE ARTS
EAST ASIAN LIBRARY
LIBRARY TECHNIC SUPPORT GROUP
RESOURCE UTILIZATION OFFICE
SOURCE DEVELOPMENT DIVISION
BIBLIOGRAPHIC CONTROL DIVISION
CATALOG EDITING DEPARTMENT
CATALOGING WITH COPY DEPARTMENT
ORIGINAL MONOGRAPH CATALOGING DEPARTMENT
SERIALS CATALOGING DEPARTMENT
HUMANISTIC AND HISTORICAL STUDIES CENTER
BUTLER LIBRARY
ACCESS SERVICES DEPARTMENT
CIRCULATION SECTION
PERIODICALS READING ROOM
INFORMATION & LIBRARY PRIVILEGES SECTION
INTERLIBRARY LOAN SECTION
MICROFORM SECTION
PATERNO LIBRARY
GENERAL REFERENCE DEPARTMENT
INSTRUCTIONAL LIBRARY
BURGESS-CARPENTER
COLLEGE
PHILOSOPHY
MUSIC LIBRARY
LIBRARY SERVICE LIBRARY
SCIENCE AND ENGINEERING INFORMATION CENTER
MOSELL LIBRARY
ACCESS SERVICES DEPARTMENT
CIRCULATION SECTION
RESERVE SECTION
MATERIALS PROCESSING SECTION
BIOLOGY LIBRARY
CHEMISTRY LIBRARY
LAMONT DOHERTY GEOLOGICAL OBSERVATORY LIBRARY
GEOLOGY LIBRARY
MATHEMATICS LIBRARY
PHYSICS LIBRARY
PSYCHOLOGY LIBRARY
REFERENCE AND INSTRUCTIONAL SERVICES DEPT.
CURRENT DOCUMENTATION & TECHNICAL REPORTS SECTION
SOCIAL SCIENCE CENTER
LEHMAN LIBRARY
ACCESS SERVICES DEPARTMENT
CIRCULATION SECTION
RESERVE SECTION
MATERIALS PROCESSING SECTION
MICROFORM SECTION
MAP ROOM
THOMAS J. WATSON BUSINESS LIBRARY
SULZBERGER JOURNALISM LIBRARY
SOCIAL WORK LIBRARY
REFERENCE AND INSTRUCTIONAL SERVICES DEPT.
CURRENT DOCUMENTATION SECTION
BOOK ACQUISIT DEPART
SERIALS ACQUI DEPA
GENERAL SERVIC DEPART
BIBLIOG SEARCH DEPART
GIFTS EXCHA DEPART
PRESERVA DEPART
CARD PRODUCT DEPART
DATA CONTRO DEPARTM
CATALO MAINTENA DEPART

JUN 1 2 1973

COLUMBIA UNIVERSITY LIBRARIES: ADMINISTRATIVE STRUCTURE

PLANNING OFFICE

Principal Administrator: Assistant University Librarian for Planning.

Parent Unit: Office of the Vice President for Information Services and University Librarian

Role: To initiate and coordinate the planning of University library and information services.

Objectives

1. Provide a direction and framework for library and information service operations which will guide decision making and problem solving.
2. Improve library service, operations and fiscal control through the application of computer technology and management science to library procedures.
3. Ensure the rational and effective development of information services and resources in the context of University academic planning.
4. Permit the anticipation of future resource needs for information services by establishing plans based on present decisions.
5. Bring the skills and experience of University and Libraries staff members into the planning process.

Functions

1. Initiate, coordinate, control and assist information services planning activities and the implementation of plans.
2. Coordinate the Libraries budget preparation, analysis and monitoring.
3. Provide a mechanism for the regular review of library services and operations and for their appropriate modification.
4. Bring tools of management and information science to bear on library problems and service opportunities.
5. Provide information concerning the progress of planning to management and staff.
6. Coordinate the development of Libraries policy.
7. Participate in University planning related to information services.
8. Participate in regional and national planning concerned with library and information services.
9. Prepare reports and applications for grants for government and funding agencies.
10. Gather, organize and provide data for reports, questionnaires, etc. both for internal use and in response to outside agencies, and coordinate these activities throughout the library system.

Key Working Relationships

1. Organizational units represented as integral components of the Libraries budget.
2. Office of the Vice President for Information Services and University Librarian.
3. Other offices and academic departments of the University.

Reports

1. Planning and implementation reports to Libraries management and staff.
2. Quarterly reports on progress to Council on Library Resources.
3. Budget reports to senior management.

Performance and Evaluative Criteria

1. Adherence to planning and budgeting delivery schedules.
2. Contribution to library service and operations.
3. Timeliness of policy manuals.
4. Scope of staff participation in planning.
5. Cohesion of University Libraries plans.
6. Effectiveness of Libraries representation pertaining to regional and national planning.
7. Timeliness of reports and applications to government and funding agencies.

FINANCIAL SERVICES OFFICE

Principal Administrator: Head, Financial Services Office.

Parent Unit: Planning Office

Role: To monitor and coordinate all financial functions relating to the Libraries.

Objectives

1. Improve the operations of all library units relying on the Financial Services Office by providing efficient service and by participating in the establishment of accounting policies and practices which further such service.
2. Contribute to sound finances by controlling library accounts in coordination with those responsible for the receipt and expenditure of funds and or preparing and monitoring financial reports.
3. Enhance library operations and services by coordinating all library accounts with other University offices.
4. Enhance knowledge of library procedures and facilitate decision making by participation in gathering and organizing internal and extra-library data.
5. Facilitate budget preparation by advising the Planning Office and others on financial matters.
6. Promote good public relations and enhance library operations by maintaining effective working relations with outside agencies, businesses and individuals.

Functions

1. Assist in the formulation of financial policies and the implementation of financial procedures.
2. Assist in the preparation of the budget by advising the Planning Office and others on financial matters.
3. Maintain complete and accurate records of all library accounts.
4. Control library accounts in coordination with those responsible for the receipt and expenditure of funds.
5. Prepare and monitor financial reports.
6. Maintain close relationships with other University offices and in particular the Controller's Office.
7. Consult with and advise staff members dependent upon the Financial Services Office about policies, procedures and the status of their accounts.

Key Working Relationships

1. Works closely with Personnel and Planning Offices and in addition with the Resources Group and the General Services Department.
2. Has close liaison with the Controller's Office, the Budget Office, the Office of Projects and Grants, and other University offices where necessary.

Reports

Regular financial reports to:
  a. University Librarian
  b. Library units directly involved with the receipt and expenditure of funds.

Periodic reports to:
  a. Other library units
  b. Other University Offices

Performance and evaluative criteria

1. Accuracy of financial records
2. Availability of financial records.
3. Timeliness of reports.
4. Effectiveness of accounting procedures and financial judgments.
5. Successful integration of the goals of the Financial Services Office with other library goals.
6. Satisfaction of other library units relying on the Financial Services Office.

SYSTEMS OFFICE

Principal Administrator: Head, Systems Office

Parent Unit: Planning Office.

Role: To apply systems analysis and computer technology to the development, implementation, and maintenance of library systems.

Objectives

1. Develop tools to improve service and facilitate access to collections.
2. Improve management application and control of resources by developing reports based on library operations.
3. Increase accuracy in processing and maintaining operating information.
4. Reduce costs and improve availability of materials by improving operating techniques.
5. Enhance the intellectual effort of the professional staff by simplifying procedures and eliminating unnecessary or duplicate work.
6. Reduce the labor of clerical operations by automating the data entry, file handling, and report generating functions.
7. Permit the processing of an increased volume of operational data which may not be processed effectively otherwise.
8. Develop new services based on data in machine readable form.
9. Contribute to the advancement of the library community by sharing systems documentation and data.

Functions

1. Design, code, test, and install computer based library systems.
2. Perform cost and operations analysis of Libraries functions.
3. Maintain and modify operational library computer systems.
4. Develop training and operating manuals and procedures for use in library systems.
5. Review the progress of hardware and software technology and recommend system improvements as indicated by device and program advances.
6. Instruct Libraries staff in principles of systems analysis and data processing sufficient to foster effective working relationships.
7. Communicate with other institutions engaged in library systems work so that there is a mutual contribution of technical expertise to development efforts.

Reports

Monthly reports to the Assistant Director for Planning, describing Systems Office activities.

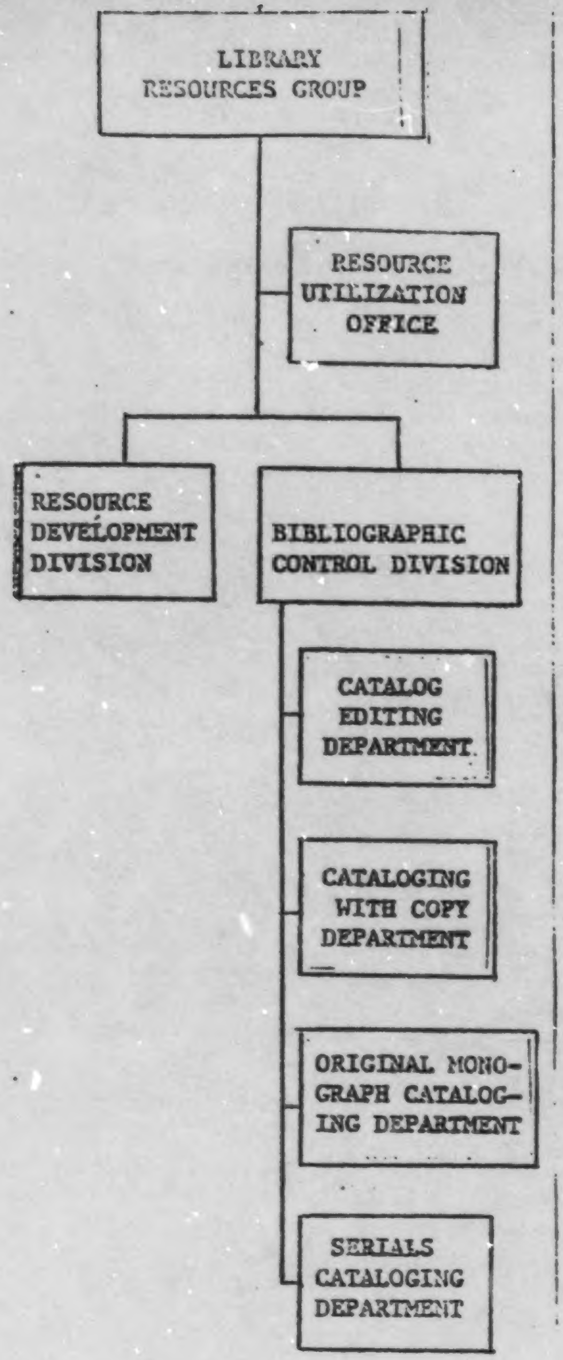
Regular reports to the Libraries staff concerning the progress of study, development and implementation.
Critical incident reports to the Computer Center staff as appropriate.

Key Working Relationships

1. Libraries management, professional staff, and supporting staff.
2. Data Control Department.
3. University administration, Computer Center senior staff, and Administrative Data Processing staff.

Performance and Evaluative Criteria

1. Adherence to development and implementation targets.
2. Improved service or operations as a result of Systems Office efforts.
3. Effective use of computer resources.
4. Improved management control as a result of Systems Office efforts.


LIBRARY RESOURCES GROUP
RESOURCE UTILIZATION OFFICE
RESOURCE DEVELOPMENT DIVISION
BIBLIOGRAPHIC CONTROL DIVISION
CATALOG EDITING DEPARTMENT
CATALOGING WITH COPY DEPARTMENT
ORIGINAL MONOGRAPH CATALOGING DEPARTMENT
SERIALS CATALOGING DEPARTMENT

COLUMBIA UNIVERSITY LIBRARIES
RESOURCES GROUP

RESOURCE UTILIZATION OFFICE

Principal Administrator: Head, Resource Utilization Office

Parent Unit: Library Resources Group

Role: To plan, design, develop, and coordinate programs and activities to apply the library resources of the University to the information needs of the academic community.[1]

Objectives

1. Expand the reference capacity of the Libraries through programs that bring specialized library resources and services to students and academic staff.

2. Relate library resources to University instructional and research activities through educational programs directed toward the effective use of the Libraries' resources.

3. Promote the provision of direct assistance to students and academic staff through in-depth reference work applied to specific research and instructional projects.

4. Increase the effectiveness of reference service by coordinating the utilization of library personnel for in-depth references service system wide.

5. Develop the capability among students and academic staff to make effective use of library resources in general.

6. Increase the awareness of bibliographic tools and research techniques among students and academic staff.

7. Increase the familiarity of students with Columbia's library collections.

8. Aid students and staff in a systematic way to keep up with the literature in their fields of interest.

9. Allow faculty to receive regularly materials of potential value in their instructional work.

Functions

1. Initiate and coordinate the design, development and implementation of Libraries resource and in-depth reference programs.

2. Coordinate the utilization of library personnel for in-depth reference service, system-wide.

3. Help members of the academic community to take maximum advantage of library resources in satisfying their research needs by providing educational programs and individualized assistance based on the specialized subject and collection knowledge of the Libraries' professional staff.

4. Develop programs and materials to inform students and academic staff of available Columbia library resources.

5. Develop curricula to teach library research techniques and the use of bibliographic tools.

BEST COPY

6. Coordinate and publicize instructional programs conducted by Libraries staff within University courses.

7. Develop and administer training for librarians participating in resource utilization programs.

8. Determine library instructional needs and plan programs to satisfy them.

9. Develop user guides and self-instructional materials to aid library patrons.

10. Coordinate library information sessions and escourted tours of library facilities.

11. Develop literature citation, table of contents, selective dissemination, and other current services for students and academic staff.

12. Determine current-awareness service needs and plan programs to satisfy them.

13. Review services available from outside sources and assess their applicability in the Columbia environment.

14. Participate in the development of computer-based literature control systems in the Libraries Systems Office.

15. Act as liaison with outside agencies providing specialized information services to students and academic staff.

Key Working Relationships

1. Resource Development Division and Service Center reference personnel.
2. Distinctive collections.
3. Faculty, researchers, students.
4. Planning Office.
5. Outside information service organizations.

Reports

1. Annual and periodic reports to the Associate University Librarian for Resources.
2. Periodic reports to Service Center Directors and the Associate University Librarian for Services.
3. Reports to appropriate faculty members, including department chairmen and deans.

Performance and Evaluative Criteria

1. User satisfaction.
2. Number of users served.
3. Effectiveness of programs and materials.
4. Variety and number of programs developed and implemented.

NOTES

1. These programs would include current awareness, library instruction in specific disciplines, consultations, bibliography generation, data-base services, and other types of in-depth reference work. The services themselves are administered within the Services Group.

RESOURCE DEVELOPMENT DIVISION

Principal Administrator: Chief, Resource Development Division

Parent Unit: Resources Group

Role: To develop library collections satisfying the demands made upon the Columbia University Libraries; to provide specialized bibliographic, reference and support services.

Objectives

1. Bring together subject and area-oriented professional librarian skills and direct them toward the development of the sophisticated information resources required by the academic community.
2. Develop collection policy supporting actual instructional activities (including regional and area studies) and present and future research needs of the University.
3. Make resources available for use with the aid of specialized staff.
4. Participate in cooperative resource building and information retrieval projects on regional and national levels.
5. Build resources to support commitments to regional and national resource plans.
6. Preserve the collections.
7. Support the process of collection development through the proper acquisition of materials for which specialized language abilities are necessary.
8. Improve bibliographic control over materials in special languages by maintaining records before permanent bibliographic control is achieved and by participating in the efficient production and maintenance of permanent bibliographic records.
9. Encourage the development of machine-based retrieval systems.

Functions

1. Participate in planning for the Resources Group.
2. Recommend, prepare and monitor budgets for the operation of the division.
3. Recommend policy for collection development.
4. Plan and carry out programs and services of collection policy.
5. Identify materials needed in developing the collections.
6. Solicit and coordinate subject knowledge of service center personnel in collection development.
7. Recommend policies and identify materials that require preservation decisions.
8. Participate in providing reference assistance, including preparation of bibliographies and instructional aids for faculty and students.

9. Maintain close relationship with faculty, researchers and students in planning resource development.

10. Acquire material in specified languages through purchase, exchange and receipt of gifts.

11. Maintain and make accessible records of the acquisition and processing of specified language materials.

12. Perform all types of bibliographic searching where special language skills are required.

13. Participate in the production of bibliographic control records of specified language materials.

14. Participate in maintaining the general card catalogs and central shelflists as requested; and communicate changes to those in charge of the departmental catalogs.

15. Participate in gathering, organizing and providing data for reports, questionnaires, etc., both for internal use and in response to outside agencies.

16. Provide professional assistance in the development of machine-based retrieval systems.

17. Keep abreast of research and other activities in pertinent subject fields and geographic areas, including participation in appropriate organizations.

Key Working Relationships
1. Library units in Service and Support Groups.
2. Distinctive Collections.
3. Faculty, researchers, students.
4. Bibliographic Control Division.
5. Planning Office.

Reports
Annual and periodic reports to the Associate Librarian for Resources.

Performance and Evaluative Criteria:
1. Growth, development, and preservation of collections according to plans.
2. Academic community's satisfaction with availability of materials needed.
3. Accuracy of records produced.

BIBLIOGRAPHIC CONTROL DIVISION

Principal Administrator: Chief , Bibliographic Control Division

Parent Unit: Library Resources Group

Role: To provide organization and bibliographic control of the library's resources.

Objectives

1. Create and maintain a bibliographic control apparatus which permits the full use of the Libraries' resources in the most economical and efficient manner.

2. Establish policies and standards for bibliographic control for all units within the library system.

3. Maintain consistency of bibliographic records.

4. Provide policy guidance on bibliographic control to the Support and Services Groups as needed.

5. Assist in maintaining process control over items received until formal bibliographic control is achieved.

6. Identify and process the most-needed materials as quickly as possible.

Functions

1. Establish and enforce policy of bibliographic control, system-wide.

2. Originate bibliographic records for monographs, serials, documents, and non-book materials.

3. Maintain quality control of the existing and newly created bibliographic records, both central and departmental; by catalog editing and by aid (editing instruction and guidance) to service center and support personnel.

4. Provide for the training and "revision" of cataloging staff.

5. Provide professional assistance on bibliographic matters to faculty members, researchers, and other library users.

6. Participate in planning uses of computer technology in the libraries.

7. Assist in budget preparation for the operation of the Bibliographic Control Division.

8. Participate in decisions relating to the organization of the collections.

9. Assist in the designation of priorities for cataloging materials in order to forward the most needed materials as quickly as possible to their destinations.

Key Working Relationships

1. Library units in Support Group.
2. Library units in Services Group

3. Other units in Resources Group
4. Distinctive Collections.
5. Faculty, researchers, graduate students.
6. Library of Congress.
7. Other academic and research libraries (bibliographic control units).
8. Systems Office
9. Planning Office
10. Serials and documents acquisition staff.

Reports

1. Periodic reports to the Associate University Librarian for Resources.
2. Reports to the Libraries' staff concerning new policies and procedures.
3. Statistical reports as needed to:
    a. Units of the library.
    b. Planning and systems offices.
    c. Organizations outside the university.
4. Reports by the Director of Bibliographic Control to the staff of the Division on matters of common interest.

Performance and Evaluative Criteria

1. Effectiveness of the bibliographic records in providing needed information to their users.
2. Accurary of records, including close conformity with Library of Congress practices and established rules of cataloging.
3. Time required to provide bibliographic control over materials received in the Division.
4. Unit cost of providing bibliographic control.
5. Quantity of bibliographic records produced.

CATALOG EDITING DEPARTMENT[1]

Principal Administrator: Catalog Editor

Parent Unit: Bibliographic Control Division

Role: To solve problems and conflicts in the bibliographic records whose solutions are not otherwise provided for.

Objectives

1. Improve the effectiveness of the bibliographic records.
2. Relieve other cataloging units of bibliographic activities not suitable or proper to them.
3. Provide guidance to the Catalog Maintenance Unit.[2]

Functions

1. Resolve problems and conflict in the bibliographic records which are not the responsibility of others, including providing direction for changes, etc.
2. Participate in resolving problems involving the union catalog which arise during the filing process.
3. Provide systematic revision of the catalogs.
4. Participate in the upkeep of the bibliographic records in all units.
5. Coordinate authority work and participate in the control of the authority files.
6. Participate in establishing cataloging policy.
7. Participate in establishment of government name forms.

Key Working Relationships

1. Units in the Bibliographic Control Division.
2. Catalog Maintenance Unit.
3. Documents Acquisitions.
4. Service Units with bibliographic records.

Reports

Statistical and narrative reports as required.

Performance and Evaluative Criteria

1. Improvement in the bibliographic records.
2. Currency in resolving reported conflicts.
3. Greater efficiency of other cataloging units.

Notes

1. Catalog editing is here defined as the work involving the intellectual aspects of problems and conflicts in the catalogs. It includes areas that are not the responsibility of any one cataloger or unit. It does not include the mechanical aspects of the necessary adjustments. It does not include monitoring catalogers' output.
2. This is intended to cover bibliographic matters, not administration.

CATALOGING WITH COPY DEPARTMENT

Principal Administrator: Head, Cataloging with Copy Department

Parent Unit: Bibliographic Control Division

Role: To provide organization and bibliographic control over monographs for which cataloging copy is available.

Objectives

1. Improve the collection by identifying and processing the most needed materials as quickly as possible.

2. Facilitate research and use of the collections by providing and maintaining accurate and consistent bibliographic records for monographs which have available cataloging copy.

3. Participate in creating and maintaining a system-wide bibliographic control apparatus in the most economical and efficient manner.

4. Participate in the creation and implementation of policies and standards for bibliographic control.

5. Improve bibliographic control by maintaining process control over items received until formal bibliographic control is achieved.

Functions

1. Participate in establishing and enforcing policy of bibliographic control, system-wide.

2. Catalog and classify monographs, including documents, for which copy is available, such as:
   a. With LC depository card or proof slip (item new to Columbia University Libraries)
   b. With General Catalog main card (item for different department)
   c. With LC information available other than the above (Temporary slips, NUC, MARC and CIP)

3. Cooperate with Documents Acquisitions in establishing government name forms.

4. Maintain quality control of the existing and newly created bibliographic records, both central and departmental by catalog editing, cooperation with Catalog Editor and by aid to Service and Support personnel.

5. Originate additional bibliographic records (i.e. history cards and other authority work as needed) both central and departmental.

6. Perform auxiliary cataloging duties necessary for Cataloging with Copy such as: searching as needed in languages with non-Roman alphabets, shelflisting, preparation of books for further processing.

7. Perform monographic transfers, replacements, and the adding of copies.

8. Update bibliographic records for monographic sets in union catalog and to notify departments of appropriate additions to their records.

9. Sort incoming bibliographic items for the section into established priorities.

10. Provide for the training and revision of the professional and clerical staff of the Cataloging with Copy Department.

11. Participate in planning uses of computer technology for bibliographic control.

12. Edit cataloging copy for machine input into CUMARC system.

13. Participate in decisions relating to the organization of the collections.

14. Assist in designation of priorities for cataloging materials in order to forward the most needed materials as quickly as possible to their destinations.

15. Assist in budget preparation for the operation of the Bibliographic Control Division.

16. Help provide professional assistance on bibliographic matters to faculty members, researchers, and other library users.

17. Participate in national reporting activities for monographs with available copy.

Key Working Relationships

1. Other units in Resources Group.
2. Library Units in Support Group.
3. Library Units in Services Group.
4. Library of Congress.
5. Systems Office.
6. Planning Office.
7. Distinctive Collections.

Reports

1. Periodic reports to the Director of the Bibliographic Control Division.
2. Periodic reports by the Head of the Cataloging with Copy Department to the staff of the Department of new policies and procedures, and matters of common interest.
3. Reports by the staff of the Cataloging with Copy Department to the Head of the Department.
4. Statistical reports by individual staff members to the Head of Cataloging with Copy Department as required.
5. Statistical reports by the Head of Cataloging with Copy Department to the Director of the Bibliographic Control Division.

Performance and Evaluative Criteria

1. Effectiveness of the bibliographic records in providing needed information to their users.
2. Accuracy of records, including close conformity with Library of Congress practices and established rules of cataloging.
3. Time required to provide bibliographic control over materials received in the Department.
4. Quantity of bibliographic records produced.

Note

1. Unless otherwise specified, "monographs" includes document and non-book materials, but excludes materials for the Law, Medical, and Music Libraries, and those in Asiatic vernacular languages.

LAW CATALOGING DEPARTMENT

Principal Administrator: Head, Law Cataloging Department

Parent Unit: Bibliographic Control Division

Role: To provide organization and bibliographic control of the Law Library's resources.

Objectives

1. Create and maintain a bibliographic control apparatus which permits the full use of the Law Library's resources in the most economical and efficient manner.

2. Participate in the establishment of policies and standards for bibliographic control for the Law Library.

3. Participate in maintaining the consistency of bibliographic records.

4. Assist in maintaining process control over items received until formal bibliographic control is achieved.

5. Identify and process the most-needed materials as quickly as possible.

Functions

1. Participate in the establishment and enforcement of bibliographic control, in the Law Library catalog and in the union catalog.

2. Provide cataloging, original and with available copy, for the following Law Library materials[1]: monographs, serials, and non-book materials.

3. Perform auxiliary cataloging duties for the Law Library, such as: searching, shelflisting, withdrawing, updating.

4. Provide additional bibliographic apparatus such as history and authority work as required.

5. Help maintain quality control of the existing and newly created bibliographic records, in both the Law Library and the union catalog.

6. Provide for the training of its own staff, including revision, continuing training, and refresher work in new procedures and practices as needed.

7. Help provide professional assistance on bibliographic matters to faculty members, researchers, and other library users.

8. Participate in planning uses of computer technology in the libraries.

9. Assist in budget preparation for the operation of the Bibliographic Control Division.

10. Participate in decisions relating to the organization and preservation of the Law Library's collections.

11. Assist in the designation of priorities for cataloging materials for the Law Library.

6/25/73

12. Participate in national reporting activities for materials in the Law Library.

Key Working Relationships

1. Other units in Bibliographic Control Division.
2. Other units in Resources Group.
3. Card production unit.
4. Resource personnel in Law Library and in service centers.
5. Faculty, researchers, graduate students.
6. Systems Office.
7. Library of Congress

Reports

1. Statistical reports by individual catalogers to chief Law Cataloger.
2. Statistical reports by chief law cataloger to the Director of Bibliographic Control.
3. Annual reports by chief law cataloger to head of Law Library.
4. Reports by chief law cataloger to the staff of the department concerning new policies and procedures, and other matters of common interest.

Performance and Evaluative Criteria

1. Effectiveness of the bibliographic records in providing needed information to their users.
2. Accuracy of records, including close conformity with Library of Congress practice and established rules of cataloging.
3. Time required to provide bibliographic control over materials received by law catalogers.
4. Quantity of bibliographic records produced.
5. Quantity of materials processed and achievement of currency.

Notes

1. All materials, including documents.

SELECTED PORTIONS **The University of Tennessee/Knoxville**

Library Purpose, Objectives and Goals

1974-75 November 15, 1974

Library 2
Director of Libraries 4
Collection Development 6
Law Library 8
Associate Director for Administrative Services 10
Auxiliary Services Department 12
Binding and Preservation Department 17
Business Manager's Office 19
Staff Development Office 21
Systems Department 24
Associate Director for Public Services 27
Agriculture Library 29
Interlibrary Services 31
Main Circulation Department 34
Main Reference/Documents 35
Main Reserve Department 37
Music Library 39
Science-Engineering Library 42
Special Collections Department 44
Undergraduate Library Administration Office 46
Undergraduate Library Circulation Department 49
Undergraduate Library Non-Print Department 50
Undergraduate Library Reference Department 52
Undergraduate Library Reserve Department 54
Associate Director for Technical Services 56
Cataloging Department 58
Monographs Order Department 60
Preparations Department 62
Serials Order Department 64

The attached statements of purpose, objectives, and goals reflect the statements of library department heads in consultation with staff in preparation for the Fiscal 1974/75.

For the sake of clarification, the following definitions are provided:

1. Purpose - A brief but comprehensive statement that speaks to the broad mission of the organization.
2. Objectives - Ongoing program statements with specific philosophic direction on issues of library concern.
3. Goals - Statements which are subordinate to objectives and reflect specific measurable steps to be taken.

Preparation of 1975-76 goals will be a first step in the budget preparation process early in 1975.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 15, 1974

Library, The University of Tennessee/Knoxville
Purpose and Objectives
1974/75

Purpose

The University of Tennessee/Knoxville Library as the premier research library of the State seeks to support and stimulate undergraduate instruction, graduate instruction and research, and faculty research and service on the Knoxville campus and to respond to the needs of scholars by providing access to recorded information.

Objectives

1. To establish library requirements for campus instructional and research programs by maintaining regular contacts with academic departments and administration and being actively involved in committees concerned with topics having implications for library resources and services.
2. To increase and maintain the acquisitions budget to reflect the number and level of programs as well as the number of students served.
3. To acquire and service all necessary recorded information, both print and non-print, in those fields pertinent to the programs of the University.
4. To develop and maintain a clear definition of scope of collection for each library unit on the campus in order to minimize the fragmentation and duplication of resources.
5. To process, on a current basis in the LC classification, all materials except manuscripts, fiction, UT theses and dissertations, juvenile materials, primary and secondary texts, and ephemeral materials.
6. To develop and maintain a strong service-oriented staff, adequate in number, through systematic recruitment, orientation, in-service training, specialization, advancement, and competitive remuneration.

7. To accommodate collections, patrons, and staff in physical facilities offering ready access to and usage of materials under optimum conditions.

8. To administer the collections in a manner that will facilitate access by all users.

9. To maintain materials in good physical condition through an active binding and preservation program.

10. To develop and maintain systematic planning and reviewing procedures to ensure maximum utilization of personnel and financial resources.

11. To develop a commitment to long-range planning for constructive development of the collections to support teaching, research and service.

12. To review professional and technological developments for possible application in the library system.

13. To maintain a constructive working relationship with other libraries and associations to enhance access to other resources and to effect the development of mutually advantageous approaches to collection policies and interlibrary exchange.

14. To implement and maintain an orientation and education program for library patrons for maximum utilization of resources and facilities.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 15, 1974

Director of Libraries
Purpose, Objectives, and Goals
1974/75

Purpose

To provide general direction for the planning, organizing, staffing, coordinating, budgeting and controlling functions of the entire UTK Library System to maximize support for the teaching, research and service functions of the campus; and to maintain the external relations of the library.

Objectives and Goals

1. To act as advocate for the library system with the administration, faculty. staff, students and general public to maximize political and budgetary support.
   a. Actively participate in 90 per cent of deans meetings.
   b. Meet with deans individually at least twice a year.
   c. Meet with Academic Vice-Chancellor at least once a month.
   d. Meet with UTK Administration at least three times each year.
   e. Meet with at least one-fourth of the academic department heads each year.
   f. Meet with Graduate Student Association officers at least once each year.
   g. Meet with Academic Council representatives at least once.
   h. Actively seek and participate in THEC committee meetings.
   i. Seek and maintain library representation on all committees making decisions that affect libraries by presenting recommendations.
   j. Meet with the Library Advisory Committee at least three times each year.

2. To recruit and develop a staff of capable, forceful and service-oriented persons.
    a. Visit at least nine ALA-accredited library schools each spring.
    b. Identify at least two able librarians at each conference who might be approached about future vacancies.

3. To develop a management style featuring substantial disclosure and consultation.
    a. Meet with all non-supervisory personnel in small group meetings at least once each year.
    b. Respond to all group requests for meetings.
    c. Conduct a monthly meeting with all library department heads.
    d. Meet jointly with the associate directors at least once each week.

4. To provide a managerial climate in which innovation can take place.
    a. Promote monthly seminars by leading people in librarianship and related fields.
    b. Promote at least two library staff out-of-state tours per year.
    c. Hold one meeting per quarter with library administration to discuss innovation.
    d. Seek a management intern at least once each three years to introduce a different perspective.

5. To be active in the library profession on behalf of UTK and the UTK Library.
    a. Attend all American Library Association conferences and seek committee assignments for self and others by meeting key officers.
    b. Attend all Southeastern and Tennessee Library Association conferences and seek committee assignments for staff by meeting key officers.
    c. Attend all Association of Research Libraries meetings and seek commission and board assignments by participating in meetings.

6. To guide the development and utilization of a planning and implementation process throughout the library system.
    a. Cite ongoing program objectives in all budget requests, annual reports, and other documents.
    b. Raise alternatives and long-range applications in all problem-solving situations.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 15, 1974

Collection Development
Purpose, Objectives and Goals
1974/75

Purpose

The Collection Development Office exists to help with the evaluation of the collections and to coordinate selection of materials added.

Objectives and Goals

1. Develop the collection in keeping with needs of current teaching, research and service programs.
   a. In conjunction with the Main Library Reference Department, designate standard bibliographies to be sampled by the Monographs and Serials Order Departments for the disciplines designated below:

      1974
      October -- Geography
      November -- Physics

      1975
      January -- Sociology
      February -- Management Scien
      March -- English
      April -- Animal Science
      May -- Mathematics

   b. Schedule at least one visit at the rate of six per week to each of the 60 faculty representatives and branch librarians during the Fall quarter, 1974.
   c. Through experience gained by these visits, decide on the visitation schedule by January 1, 1975, for the remainder of the 1974/75 academic year.

2. Encourage all faculty, students, and library staff to make known to Collection Development any needs or deficiencies within the collection.

3. During the year work toward the creation of individual selection policies and the accomplishment of an overall written selection policy statement.
   a. Develop selection policy statements for non-print, newspapers, duplicates and Reserve by June 30, 1975.
   b. Serve as an "ex officio" member of the Library Scope Committee

4. Administer and expand the Library Development Program.
    a. Prepare a Library Development Fund Report by July 15 of each year for September publication.
    b. Work with the UTK Development Office on library development program reception to be given in April 1975.
    c. Maintain library endowments records (including new gifts) and review during June 1975.

5. Coordinate the selection activities of library representatives, faculty, and library staff who have these responsibilities.
    a. Arrange meeting of library representatives and appropriate members of the UTK Library staff in October, 1974 for exchange of information.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 15, 1974

The Associate Director for Administrative Services
Purpose, Objectives and Goals
1974/75

Purpose

The Associate Director for Administrative Services is responsible for the development and coordination of services (binding, auxiliary services, systems analysis, personnel, staff development, and fiscal control) which support the activities of the public and technical service areas of the UTK Library System. In conjunction with the Director of Libraries and the other Associate Directors, the Associate Director for Administrative Services also develops planning methods, policies and procedures which affect the operation of the UTK Library System.

Objectives and Goals

1. To develop and maintain a planning and implementation process for the optimum utilization of library resources.
    a. To refine, introduce (to staff and heads), and implement the "planning process" and document submitted to the Library Administration for FY 75 by November, 1974.
    b. Develop and maintain a review process of existing programs, new proposals, and alternatives that takes place twice yearly within the Library Administration.
    c. Provide for the annual review of purpose, objectives and goals.

2. To coordinate and integrate the activities of the Administrative Services departments.
    a. To assist departments by meeting informally with heads (separately) on a bi-weekly basis in order to discuss progress and problems of the departments.
    b. To coordinate the activities of those departments with common interests in specific issues or programs in order to achieve optimum resolution of issues at stake whenever requested by parties involved.

   c. To be available to attend departmental staff meetings upon a department's request.

3. To provide administrative leadership, support, and guidance to the Administrative Services departments.
   a. To conduct research in library management and in the general field of librarianship in order to deal more effectively with administrative issues and to conduct a quarterly review of this process.
   b. To work jointly with individual administrative services heads on areas of research relevant to their interests and fields of specialization. To review their progress annually.

4. As a member of the Library Administration, seek to uphold the tenets of consultative management within the library.
   a. To practice the philosophy of consultative management through substantial disclosure and provide for input in all dealings within administrative services. Review this process twice annually with administrative services heads.
   b. To foster the consultative management philosophy in dealings with administrative services heads so that this management approach reaches all levels within administrative services. Review this process with administrative services heads and staff twice yearly.
   c. To practice goals 4(a) and 4(b) on a library-wide basis as much as possible.

5. To maintain liaison with UTK Administrative officals and faculty.
   a. To seek actively participation on at least one university-wide committee per year.
   b. To visit one-fourth of the university deans, directors, and department heads per year.
   c. To visit those offices directly interacting with Administrative Services at least once a quarter.

6. To maintain an awareness of library-related activities through liaison through colleagues and through research.
   a. To attend the American Library Association Summer and Midwinter meetings for interaction.
   b. To attend Southeastern Library Association meetings.
   c. To attend Tennessee Library Association meetings.
   d. To seek participative offices or assignments in the above organizations in order to obtain a more significant liaison with colleagues.
   c. Attempt to contribute to the professional literature twice a year.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 15, 1974

Auxiliary Services Department
Purpose, Objectives and Goals
1974/75

Purpose

To provide support services for all departments and branches of the Library System though mail, messenger and delivery services, shipping and receiving, duplicating services, building management, procurement and inventory control of supplies and equipment, maintenance of appropriate records, and security.

Objectives and Goals

1. Maintain space inventory of the library system.
    a. Maintain accurate records of space allocations for all departments of the library and provide information as requested to the library and campus administration.

2. Maintain graphics for the library system.
    a. Conduct annual review of graphics.
    b. Provide signs for holiday schedules and post three days before schedule begins.

3. Maintain bookkeeping records of all items of the operating budget other than those pertaining to book purchases, travel, and payroll.
    a. Check photocopy records and charge slips and make appropriate entries on the day received and prepare necessary Transfer Vouchers and invoices by the 10th of each month.
    b. Process all invoices and Transfer Vouchers on the day received.
    c. Prepare a Financial Statement indicating current status for the Business Manager's Office by 2:00 p.m. on the 15th and 30th of each month.

   d. Within one day of receipt of information, prepare Binding report and send to the Associate Director for Administrative Services.

4. Provide contact with the Physical Plant when necessary for maintenance, renovations, or repairs to buildings and equipment.
   a. Notify the Physical Plant when maintenance or repairs are required daily as needed.
   b. Seek cost estimates within three days of request for anticipated projects and coordinate work when approved.
   c. Make a cursory inspection of the building before 8:00 a.m. daily and report problems to custodial or maintenance staff daily.
   e. Report scheduled work within one day of receipt of information to the departments affected.

5. Maintain awareness of developments in library equipment and supplies through contact with vendors, literature, and counterparts in other libraries.
   a. Read current literature, contact sales representatives about new products, and maintain liaison with counterparts from other libraries and provide a quarterly review of progress to the Associate Director for Administrative Services.

6. To acquire, maintain, and inventory all library equipment and supplies.
   a. Anticipate the need and stock library and office supplies necessary for the day-to-day activities of the library system by avoiding stock depletions.
   b. Requisition approved equipment in the annual budget by September 1 each year.
   c. Prepare and submit to Purchasing Department a list of equipment to be included on the service contract by July 1 each year.
   d. Prepare and submit a bid list for major library supplies by July 1 each year.

7. To work with heads and Library Administration in planning the implementation of space utilization.

8. To deposit and maintain records for monies collected for fines and services rendered.
    a. Prepare deposits each Monday, Wednesday, and Friday morning by 10:00 a.m.
    b. To maintain an adequate change supply to meet daily library needs at all times.

9. Maintain security of library buildings and contents.
    a. To complete the revision and verification of the Key Record Control by September 1 each year.

10. Coordinate safety activities, identification and correction of unsafe conditions.
    a. To assure that all staff members are instructed in the proper use of available fire extinguishers by September 1 each year.

11. Maintain telephone service for the library system.
    a. Notify Physical Plant within one working day of requests for telephone service.
    b. Maintain staff directory and provide staff lists to library on a monthly basis.

12. Provide shipping, receiving, and messenger services for all departments of the library system.
    a. Receive all incoming first class, campus and messenger mail and deliver to appropriate departments before 10:30 a.m. daily Monday through Friday.
    b. Pick up, prepare and deliver to street box all first class mail before 4:30 p.m. Monday through Saturday.
    c. Pick up, prepare, and mail all outgoing Inter-library Loan materials within three days.
    d. Receive, unpack and deliver to Monographs or Serials Order Departments all incoming materials daily.
    e. Receive all gift materials and deliver to designated place within two days. Notify appropriate department of the arrival.
    f. Receive all supplies and deliver to the Supply Room on the day received.
    g. Receive all library and office equipment and notify or deliver to the Auxiliary Services Office on the day received.
    h. Pick up and prepare for shipment all materials being shipped by United Parcel Service before 1:00 p.m. daily Monday through Friday.

i. Pick up and prepare within five days all materials being shipped by motor freight or railway express.

j. Deliver all materials accumulated in the Receiving Room for the branches before 12:00 noon and 3:30 p.m. daily Monday through Friday.

k. Deliver all miscellaneous materials accumulated in the Receiving Room for various other departments on campus before 12:00 noon and 3:30 p.m. daily Monday through Friday.

l. Pick up, prepare, and ship all materials being sent to vendors within five days.

m. Pick up and prepare all mail accumulated in the library departments before 2:30 p.m. messenger run Monday through Friday.

n. Deliver incoming mail from the afternoon messenger run to the various library departments before 10:30 a.m. daily Monday through Friday.

o. Deliver recyle materials at least two times weekly.

p. Pick up and deliver to Auxiliary Services fine collections from Science/Engineering, Agriculture, Music, and Law by 1:30 p.m. Monday and Thursday.

q. Deliver supplies to Main Library departments by 5:00 p.m. each Friday.

r. Deliver supplies to branch libraries before 12:00 noon each Friday.

s. Pick up on request from various departments on campus library materials being returned to Main Circulation by 12:00 noon or 3:30 p.m. daily Monday through Friday.

t. Pick up, prepare, and ship by Physical Plant truck all library materials going to branch libraries before 11:00 a.m. daily Monday through Friday.

u. Receive all incoming materials by Physical Plant truck for Binding, gifts, Monographs Order, Room 2, Cataloging, and Preparations and deliver to designated departments within two days.

v. Deliver all incoming materials from the morning messenger run by 2:30 p.m. daily Monday through Friday.

w. Pick up at 8:00 a.m. daily all library materials deposited in library street book return boxes, sort and deliver to appropriate departments by 10:30 a.m.

Monday through Saturday (Monday-Friday during holidays and quarter breaks).
  - x. Monitor Main Library rear entrance 7:30 a.m. through 8:00 a.m. daily, Monday-Friday.
  - y. Unlock Main Library doors at 8:00 a.m. Monday-Friday; 9:00 a.m. Saturday.

13. Maintain photocopy service for students, faculty, and staff.
    - a. Keep the maximum waiting period for access to a copier below 15 minutes for library patrons.
    - b. Maintain one day service for telephone copy requests.
    - c. Keep average machine down-time to less than 5%.

14. Provide duplication services to support the requirements of the Library system.
    - a. Keep the maximum waiting period for access to a copier below 15 minutes for library departments.
    - b. Maintain one day copy service for Interlibrary Services, Reserve materials, Binding and Administration.
    - c. Maintain one week copy service for Monographs Order Department.
    - d. Maintain four day service for duplication of catalog cards.
    - e. Maintain one month service for printing of library forms.
    - f. Maintain two week service for printing of library publications.
    - g. Maintain one day service for printing of internal correspondence.
    - h. Maintain one week service for dubbing of materials on open reel and cassette tapes for UGL and Music.
    - i. Maintain one week service for 16mm security filming of catalog cards and 35mm filming of library materials.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 15, 1974

Binding and Preservation Department
Purpose, Objectives, and Goals
1974/75

Purpose

To preserve the collection through development of policies and planned maintenance programs.

Objectives and Goals

1. To be alert to practices and conditions within the library actually or potentially harmful to the condition of the collection.
    a. To visit all areas where collections are housed at least every three months.

2. To propose policies and standards for the preservation of the collection.
    a. To review annually and update proposals for preservation and statements of policy pertaining thereto.
    b. To revise, no later than April 1 each year, the library's "Binding Standards" in consideration of the physical condition of the collection and the economic conditions prevalent at the time.

3. To maintain an efficient and systematic program of care for the physical collection, including binding, mending, cleaning, deacidification, and fumigation.
    a. To complete the check-in and inspection of bound materials within three working days after delivery by the commercial binder.
    b. To clean all library materials at least once each year and to seek an additional person during FY 1976 so that the operation can be done twice each year.
    c. To investigate and propose a comprehensive, economical means of preservation of deteriorating materials within FY75.

4. To interpret the library's preservation programs to servicing agencies.
    a. To maintain an awareness of research and practices by means of regularly reading the journals and reports and visiting appropriate institutions so that we can better interpret and communicate the library's preservation programs. Quarterly progress reports to the Associate Director for Administrative Services.

5. To be aware of research and practices in the preservation field in order to maintain a viable program in the UTK Library System.

6. To communicate the positive effects of the preservation program.
    a. To meet with appropriate library staff once a year in order to discuss Binding and Preservation services and practices.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 15, 1974

Business Manager's Office
Purpose, Objectives, and Goals
1974/75

Purpose

The Business Manager seeks to provide the budgetary and fiscal information necessary for the Library System to best utilize the resources available. The Business Manager's Office is responsible for the processing of appointments, terminations, and other payroll actions and the maintenance of the related records.

Objectives and Goals

1. To develop and maintain a budgetary process that is an integral part of the library's total planning effort.
    - a. To review the budget and planning process and make specific suggestions for change by August 30, 1974.
    - b. To have budget input documents prepared and distributed at least six weeks before they must be returned.

2. To develop a fiscal information system that satisfies the information needs of decision-makers within the library.
    - a. To develop and maintain a monthly reporting system for the Library Administration which will report actual expenditures and commitments and project likely expenditures for the remainder of the fiscal year by Nov. 1, 1974.

3. To provide a framework for fiscal control and program evaluation that assures that the library's resources are used as planned.
    - a. To analyze the FY74 budget requests and propose specific control and evaluation techniques by November 1974.
    - b. To conduct an annual audit of bookkeeping systems of the library that will allow greater flexibility in manipulating the basic data by June 15 each year.

4. To be knowledgeable of the influences outside the library that have a significant fiscal impact on the library. To assess the impact of these outside influences and recommend actions to the Library Administration where appropriate.

5. To process appointments, terminations, and other payroll actions in a timely and accurate manner consistent with Library and University policy.
    a. To prepare appropriate appointment, termination, or change of status papers within one working day of decision.
    b. To meet all campus reporting deadlines.

6. To maintain the personnel and fiscal records necessary to meet staff, library, and University needs consistent with Library and University policy.
    a. To convert all records on past employees to microfilm; student employee records by September 1, 1974 and salaried employee records by January 1, 1975.
    b. To provide updated staff lists as of the 10th of each month to appropriate staff by the 15th of each month.

7. To be alert to current practices in the area of library fiscal management through contact with counterparts in other libraries and continuing review of the relevant literature.
    a. Attend Planning and Budgeting Officers workships as scheduled by the Association of Research Libraries.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 15, 1974

Staff Development Office
Purpose, Objectives, and Goals
1974/75

Purpose

To develop career enhancement programs that attempt to maintain a highly motivated, well informed, and involved staff at the UTK Library. In addition, the Office functions to provide the UTK Library staff and administration with information and support in the areas of personnel.

Objectives and Goals

1. Introduce new staff to the organization of the Library, its purposes and policies.
    a. Provide general orientation for support staff on a bi-weekly basis.
    b. Offer seminar entitled "How to Use the UTK Library" at least quarterly.
    c. Distribute staff handbook in November 1974.
    d. Provide new library faculty orientation program in Fall 1974.

2. Coordinate the staff seminar program for the UTK Library
    a. Schedule one speaker per month
    b. Plan support activities of the monthly staff seminar program.

3. Identify staff needs in the areas of staff training and continuing education; develop and coordinate appropriate in-service training activities; and explore alternative means to meet needs.
    a. Coordinate the Management Development Program scheduled for Fall 1974.
    b. Provide clerical skill training opportunities as announced by the Center for Government Training.
    c. Plan and implement a supervisory training program for those with supervisory responsibility in February 1975.
    d. Collect data on library faculty continuing education needs in November 1974; provide library administration with FY 75/76 training proposals by March 1975.

  - e. Evaluate the impact of staff development activities since January 1974 in December 1974 with the Associate Director for Administrative Services.
  - f. As chairperson, actively participate in the In-Service Training Advisory Committee of the Library and solicit input from the committee members monthly.

4. Coordinate Library Departmental Visit Program
   - a. Schedule one visit per month.
   - b. Evaluate each visit.

5. Provide general interest programs as need is indicated by staff or Library Administration.
   - a. Schedule on a quarterly basis.

6. Coordinate and support the Tennessee-Venezuela Library Cooperation project during FY74/75.
   - a. Correspond with contacts in Venezuela to establish groundwork for the visit of the UTK Library faculty representative.
   - b. Attend Tennessee Partners of the Americas Board meetings when scheduled.

7. Foster within the Library a climate of responsiveness on issues of staff concern and heighten the contribution of the Office in the area of personnel development.
   - a. Propose an Employee Development Review process in Fall 1974 to serve as an alternative to mid-year evaluations.
   - b. Work with the Library Business Manager and Library Administration to evaluate and develop revised performance evaluation criteria in May 1975.
   - c. Propose the concept of flexible scheduling to the Library Administration by January 1975 after studying the feasibility of implementation.
   - d. Propose more effective utilization of skill/interest data as identified in the skill bank inventory by June 1975.

8. Participate in campus and professional activities pertinent to areas of staff development.
   - a. Attend committee meetings and actively contribute to the Staff Development Committee of the Association of College and Research Libraries division of the American Library Association in 1974-76.
   - b. Attend workshops, conferences, seminars, etc. offered on campus and by professional associations which are staff development related as often as possible.
   - c. Maintain local and national contacts established in the field of staff development by telephone, correspondence, and personal contact on a regular basis.
   - d. Attend professional association meetings regularly.

LIBRARY
THE UNIVERSITY OF TENNESSEE
KNOXVILLE 37916

November 15, 1974

Systems Department
Purpose, Objectives, and Goals
1974/75

Purpose

To enhance the efficiency of library operations and the quality of library services through support efforts in the analysis, design, and implementation of procedures, systems, and information products.

Objectives and Goals

1. To develop the methodology for and coordinate the analysis of existing library systems and procedures.
    a. To monthly monitor the time-cost figures for all computer-related systems to identify current or potential problem areas, with a view toward altering programs and procedures as necessary to reduce time/costs wherever possible.

2. To design and recommend alternative ways of improving the efficiency of existing operations in response to requests for such efforts from the Library Administration.
    a. To supply cost estimates and re-design efforts necessary for Administration to make decisions on implementing changes as requested.
    b. To develop, in conjunction with the Preparations Dept., a new method of getting bookcard required information earlier in the cycle so that minimum time will elapse between processing of the book and the bookcard by December 1974.
    c. To implement a procedure enabling unbound periodical volumes to be charged to Binding through the automated circ system by December 1974.

   d. To implement the use of COM (computer output microfilm) in the production of the circulation lists for the automated circ system by November 1974.

3. To coordinate, as deemed appropriate by the Library Administration, the implementation of computer-related systems, procedures, and information products.
   a. To complete pocketing of the Main Library collection by November 1974.
   b. To complte Main Library bookcard stuffing by January 1975.
   c. To add Main Library to the automated circulation system by April 1975.
   d. To develop and coordinate an automated circulation system in-service training program for Main Library circ personnel by April 1975.
   e. To consult on UTK Library's integration of SOLINET services into its Technical Services procedures as requested.
   f. To work with Monographs Order Department during October and November 1974 to establish recommendations regarding automated purchase order writing and fiscal controls by December 1, 1974 and to implement before June 30, 1975.
   g. To convert all bookcard magnetic tape "shelflists" to COM format by September 1975.

4. To be responsible for the preparation and maintenance of machine-readable records to support computerized projects until such time as those projects are transferred to other departments. After such transfer, to continue to supply consultative efforts and any necessary interfacing with computer resources on campus.
   a. To finish punching retrospective Main bookcards by October 1975.
   b. To transfer keypunching of bookcards for current acquisitions to Preparations Dept. by January 1, 1975.
   c. To maintain keypunching and computer updating of data for the Serials Holdings List, in accordance with the establish schedule.
   d. To undertake the keypunching of bookcards for the combined Science-Engineering Library in FY 1974/75.
   e. To keypunch as many current and retrospective delinquent records by March 1, 1975.
   f. To process within one day of receipt substitute bookcards, proxy badges, unbound periodical "bookcards", etc.

February 1974

University of Nebraska-Lincoln
Libraries

Performance Goals

At its meeting on February 14, 1974, the Faculty of the Libraries endorsed the following performance goals for 1974 as supportive of the October 1973 Statement on Mission and Current Objectives. An appraisal of these efforts will be made early in 1975 and reported to the Faculty.

Love North Completion. Complete plans for move of collections; develop and conclude plans and procedures and reorganization as deemed essential by consolidation of technical service operations into two major physical locations. Develop and complete selection and installation of furnishings and equipment for Love North.

Law Library, East Campus. Conclude plans for new facilities, revise catalog and serials records as necessary. Plan collection arrangements and ultimate physical move.

Love Renovation. Continue development of plans for changing uses in Love, including relocation and possible consolidation of related public service functions. Plan for improvement of facilities in anticipation of funding.

Lending Code. Following consideration by student and faculty groups adopt a revised lending code for implementation not later than the first semester 1974/75.

Government Documents. Prepare revised policy for U.S. Documents to include acquisition, processing, and public records and placing more material into the Superintendent of Documents classification system. A procedural manual will include attention to methods of handling, location, physical facilities, procedures, and staffing.

Catalog Interfiling. Complete interfiling of author-title catalogs; complete at least 50% of revisions of this filing.

Cooperative Systems. Investigate, and implement if appropriate and possible, cooperative bibliographic systems, such as: OCLC automated cataloging; U of N serials list, campus-wide or system-wide; Upper Midwest Regional Library network.

Accessibility of Materials. Improve bibliographic access to materials not now fully accessible. Emphasis to be given to serials and microforms.

Improve Policies and Procedures. Undertake review and possible changes in policies, practices, procedures, files, manuals, and statistics, with emphasis on areas which lack adequate documentation.

Cost Analysis. Examine unit costs of library operations, including public services, and standards to be realized for a given area of operations or services. Pilot studies to be made to determine cost-benefits.

Staff Development. Inaugurate expanded in-service training programs. Determine feasibility of financial support for seminars, retreats, symposia, and mini-workshops.

Library Instruction for Students. Continue and improve library instruction with attention to formal instruction, both credit and non-credit; informal instruction, including brochure handouts, library tours, research paper clinics, and dial-a-librarian service.

Library Services in Specific Areas.

a. Science-Technology. Develop plans for improved student services.
b. Arts & Architecture. Continue planning for possible program for an enlarged branch to include Architecture, Art and Music, with concurrent examination of desirability of the program and feasibility of funding and staffing.
c. Life Sciences. Cooperate in planning for an enlarged life sciences library with appropriate University staff and committees and formalize arrangements when funding is realized.

Faculty and Student Liaison. Extend liaison arrangements with collegiate and departmental faculty; arrange meetings to cover topics such as the Abel program, order procedures, library instruction and serials review. Extend liaison with student representatives covering all aspects of patron services.

Collection Evaluation. Review serials and periodicals acquisition with intent to minimize acquiring materials not directly relevant to current programs.

Evaluate specific collections in areas selected by the University for excellence.

Public Relations. Develop a stronger program of information dissemination to insure that needs are known and understood both within and without the University.

CORNELL UNIVERSITY LIBRARIES
STATEMENT OF MISSION

To provide bibliographical, physical, and intellectual access to recorded knowledge and information consistent with the present and anticipated teaching and research responsibilities and social concerns of Cornell University.

GUIDING PRINCIPLES

1. Access to recorded knowledge is essential for human progress.
2. Cornell University Libraries (CUL), both as an institution and as a community of individuals, is committed to excellence in its activities.
3. CUL recognizes that the diverse needs of its users and the variant character of its materials requires flexibility in the development and implementation of services.
4. CUL manages its resources in accordance with the best concepts of stewardship.
5. CUL participates in cooperative library programs to support its mission.
6. CUL subscribes to the spirit of the American Library Association Library Bill of Rights.

BASIC POLICIES

1. Administration and Organization

A. CUL is a system of libraries comprising an academic division of Cornell University.

B. The Director of Libraries is responsible to the University for the management of the libraries of Cornell University (exclusive of informally organized office collections and reading rooms).

C. He is guided in the determination of basic policies and in general governance by several formal and informal groups.

D. He is aided in implementation of library programs by Associate and Assistant Directors, staff officers, college librarians, department heads, and unit supervisors organized in an administrative structure wherein operating decisions are made at the appropriate levels.

2. Service to the User

A. All members of the Cornell University community have equal right to use University Library materials and services.

2. Service to the User (continued)

B. Rules, regulations and procedures which affect routine public transactions are published and made generally available.

C. Servicing the largest number of users is given first attention in planning library services.

D. The primary public service obligations are:

1. to provide prompt access to library materials.
2. to provide a suitable physical environment for the use of these materials.
3. to give the appropriate level of bibliographic and reference assistance to all library users.
4. to give instruction in bibliography and in the organization and use of library materials.
5. to maintain consistently excellent public relations in the day-to-day operations at all service points.

3. Collection Development

A. Policies which govern collection development are explained to the University community and are subject to periodic review.

B. Acquisition of additional unique titles within CUL takes precedence over duplication of titles for purposes of creating comprehensive individual collections.

3. Collection Development (continued)

C. Collection policy formulation takes into consideration the collections of other libraries outside Cornell University.

4. Organization and Processing of Materials

A. Materials are processed, organized and stored so that the cost-to-benefit ratio is maximized for the University as a whole.

B. CUL studies the efficiencies of centralization of repetitive clerical, largely machinable operations, services and activities, and will implement centralization where desirable.

C. Excellence of the bibliographic record is maintained.

D. Except where unusual circumstances make it inadvisable, CUL follows uniform national standards in organizing bibliographic records.

E. The collection is maintained in a usable physical condition and conserved for future generations of users.

5. Human Resources and Staff Development

A. CUL strives to develop the full library career potential of all staff members.

5. Human Resources and Staff Development (continued)

B. CUL encourages staff participation in institutional, regional and national library activities as it contributes to professional growth.

C. Managers at each level of the organization have the primary responsibility for stimulating the career growth of members of their staff.

D. Relevant system-wide and departmental objectives and priorities are made known to affected staff members.

E. Staff participation is sought in decision making at all levels.

F. Incorporation of variety into position responsibilities is encouraged when consistent with work to be done.

G. Librarians are promoted through a series of ranks reflecting their professional competence.

H. CUL is seriously concerned with the safety and welfare of the entire library staff.

I. CUL recognizes its responsibilities under the University's Affirmative Action Program.

6. Management Controls and Analysis

A. Appropriate techniques of management and analysis are used to gain efficient use of resources.

B. Significant commitments and expenditures are systematically evaluated prior to approval and implementation.

C. Statistical, productivity and cost data is provided for sound management control of library operations.

7. Facilities

A. CUL seeks to provide adequate housing of library materials, users and staff to maximize efficiency.

B. In planning library facilities consideration is given to user expectations and traffic patterns, scope and organization of collections, as well as cost and efficiency.

December 19, 1972

CORNELL UNIVERSITY LIBRARIES

INTERIM
CONTINUING OBJECTIVES

Levels of Priority

Priority #1

Continuing Objective #1 - Upgrade public service through efforts to improve
- A. The ration of hits-to-misses
- B. Delivery time
- C. Access points
- D. The information base
- E. Specialized staff service
- F. Availability of service

Continuing Objective #2 - To rationalize the collection development, retention and location criteria, and the subsequent selection processes.

Continuing Objective #9 - To use space effectively and efficiently.

Continuing Objective #14 - To seek improvement in effectiveness of administrative functions at all levels.

Priority #2

Continuing Objective #5 - To identify library materials which require special handling and to develop programs for their effective use.

Continuing Objective #6 - To maintain a program for coordinated preservation of materials.

Continuing Objective #8 - To improve staff performance and satisfaction through a structured program of evaluation and career development.

Continuing Objective #10 - To seek economies of scale in repetitive service and in processing of records.

Continuing Objective #13 - To maintain an information system for management relative to routine cost information, decisions relating to projects, and operating efficiencies.

BEST COPY

AMERICAN MANAGEMENT ASSOCIATION

December 19, 1972

CORNELL UNIVERSITY LIBRARIES
INTERIM
CONTINUING OBJECTIVES

Levels of Priority

Priority #3

Continuing Objective #3 - To increase the skills of the individual user in the independent use of library collections and services.

Continuing Objective #4 - To simplify the collection organization and library procedures in order to facilitate direct user access.

Continuing Objective #7 - To maintain a coordinated public relations program directed at:

A. The library staff members
B. Library users and potential users
C. The libraries' sources of funds.
D. The wider community.

Continuing Objective #11 - To provide practical and on-going information concerning:

A. Contacts with users
B. Make-up of user groups
C. User attitudes.

Continuing Objective #12 - To study reasons for non-use of the library among members of the Cornell community.

BEST COPY

OKLAHOMA STATE UNIVERSITY LIBRARY

STATEMENT OF MISSION AND GOALS

MISSION

The mission of the Oklahoma State University Library is to support the University in the accomplishment of its general mission through efficient utilization of all the informational resources at its disposal. The Library is an active element in the academic process and, while its mission is always supportive of the general mission of the University, it should take a positive leading role in anticipating emphases and trends to ensure the availibility of library materials and services when needed. In addition the Library should go beyond the basic curriculum requirements and provide materials and services to encourage reading for pleasure, recreation and general information for the purpose of instilling in students a desire to read. A positive, effective library program will anticipate needs and acquire informational materials in all desirable forms for the optimum use of future generations.

GOALS

I. GOALS RELATING TO THE COLLECTION:

1. The Library must strive to develop the broad collection of library materials required to meet the needs of current and anticipated University instructional and research programs.

BEST COPY

2. The Library should secure subscriptions to essential quality periodical titles, both contemporary and retrospective, needed to support current and anticipated University instructional and research programs.

3. The Library should continue its efforts to secure special collections that are compatible with the mission and goals of the University. In particular it should attempt to preserve in a special collection the publications of Oklahoma authors, writings about Oklahoma and materials identified with Oklahoma State University.

OBJECTIVES RELATING TO THESE GOALS:

A. The annual budget for library materials (books, periodicals, binding and other media) should closely approximate the following for the years indicated:

By 1975 - $600,000
By 1980 - $800,000
By 1985 - $960,000

B. Within the same time frame, the number of current periodical subscriptions should be increased to the figures indicated:

By 1975 - 9,000
By 1980 - 12,500
By 1985 - 15,000

C. Within the same time frame, the gross number of volumes added to the Library per year should approximate the following:

By 1975 - 60,000
By 1980 - 85,000
By 1985 - 105,000

II. GOALS RELATING TO STAFF: The staffing goal of the University Library over the next fifteen years should be to develop and maintain an adequate, well trained professional and supportive staff, capable of continuing the service-oriented philosophy of the Library. This goal encompasses the following:

A. Increase of the present staff as soon as possible for the purpose of providing adequate public service at the reference desks, and adequate processing service to make materials more rapidly available. Future increase of professional and non professional staff to meet the needs of an increased student body and faculty and any increase in the addition of library materials.

B. The careful analysis of candidates' credentials and personal interviews arranged to assure the development of a high caliber library staff, both academically and personally.

C. To attain the preceding goal, it is implicit that the salary of professional librarians must be improved to the level of those of the teaching faculty of equal rank. The urgency of this need is facing the library at present; remedial measures should not long be delayed.

OBJECTIVES RELATING TO THESE GOALS:

A. Increase the manning levels in the Library to provide adequate professional staffing on the basis of sixty hours per week in each of the public service areas.

B. Continue an aggressive recruitment program to attract well qualified professional librarians to fill vacancies as they occur.

C. Provide additional professional positions to reach the following manning levels by the years indicated:

By 1975 - 38
By 1980 - 50
By 1985 - 75

Supportive staff will be required, in addition. It is normally expected that 1.5 non professional positions are required to support one professional library position.

D. Work with the University administration in supplying data and statistical information to provide the necessary justification for improving the salaries of librarians holding faculty rank by approximately per cent as soon as possible to bring their salaries in line with those of the teaching faculty.

III. GOALS RELATING TO SPACE: The Library's goals in regard to building needs include the provision of adequate and suitable space in which to house the general collection, to expand public service and special areas such as the Curriculum Materials Laboratory, reader space, faculty and graduate research carrels and to ameliorate the severe space limitations present in the technical processing, administrative and service areas of the library. The Library also houses the Will Rogers Research Center and hopes to add the Will Rogers papers in the near future.

Specific goals would include the following:

A. The provision of adequate space for the anticipated increase both in readers and in holdings. Standards which the library does not now meet specify seating for 25% of the student enrollment.

B. An increase in staff work space to reach an acceptable standard.

C. The provision of special areas to house machines that produce unacceptable noise levels.

OBJECTIVES RELATING TO THESE GOALS: By 1985, the library should provide suitable space for the following:

A. Shelving space to provide for a book collection of 1,500,000 volumes.

B. Sufficient space, equipment and facilities to provide seating for 5,650 and faculty carrels for 80 people.

C. Enough service space to provide 100-140 square feet per staff member.

D. A room or area with sound-dampening facilities to house various Xerox machines and automation equipment which produce unacceptable noise levels.

A portion of the new space needed will be acquired with the removal of the Audio-Visual Department from the library. Additional space will be available with the planned new addition, sometimes called the Learning Resources Center.

IV. GOALS RELATING TO SUPPORT: The Library's goal in this area should be to continue to seek adequate financial support for library and learning resources needs. The Library cannot continue to participate actively and with vigor in the University's missions of instruction, research and extension without this support. Having succeeded in this, the goals previously mentioned could be accomplished and the library could expand its services into the following areas:

A. Providing vital, reliable and imaginative service to patrons, particularly through the addition of non-book or "learning resources" materials and the application of machine methods for library routines and information retrieval.

B. Maintaining and developing the resources and equipment necessary for such tasks.

C. Actively developing unusual and innovative methods of increasing ready access to the information stored in the collection in codex and other forms.

D. Accelerating automation activities and routines which can best be done through automation.

E. Making significant contributions in the field of interlibrary cooperation by providing rapid responses to requests for materials from other libraries in the state and nation, providing machine-processed data for state, regional and national union lists, and by cooperative acquisitions programs where feasible.

OBJECTIVES RELATING TO THESE GOALS: For many years, the Library has attempted to provide an adequate collection and adequate services on an annual budget which approximates 5% of the total University's Education and General budget. The rising cost of library materials and library services has steadily reduced the purchasing power of the budget until, under present conditions, the result approaches mediocrity. The Library's objective to further the attainment of the goals should be two-fold. First, unless the overall university budget is increased by a large amount, the Library would petition for an increase in the percentage of the E and G budget that is allocated to provide library services (the Oklahoma Regents for Higher Education recommend 5 to 6 per cent) and, second, it must extend its effort to expend the funds allocated with efficiency and care, calling upon the faculty and students to accept any resulting inconvenience with reason and understanding.

February 8, 1972

APPENDIX IV

UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY
CIRCULATION DESK

BASIC OBJECTIVES

1) To facilitate the flow and control of materials in and out of the library, providing accurate location information for the public and assisting them in obtaining a variety of materials in whatever reasonable way possible. (related to library objectives #1, #2)

2) To continually provide better general and information services, including instruction in use and interpretation of the public catalog and linedex, information regarding library services, policies, etc., assistance in use of the collection, plus other general, informational, instructional, and referral services. (related to library objective #3)

3) To allow for easier use of the collection by the public, providing efficient methods of charging out books, recalling materials, obtaining lost books, and the like. (related to library objective #3)

4) To provide, in general, consistent, equal and courteous service to our general public. (related to library objective #3)

5) A possible future objective would be to become even more information-oriented, providing a limited and basic reference information service to better serve the public, better utilize the circulation staff, and free reference staff for more in-depth reference service. (related to library objective #4)

6) To relate performance goals to overall library goals so staff at all levels may see their role in the overall structure. (related to library objectives #4, #5)

7) To continually explore new areas of service, trying to provide for the needs of the public and library, ongoing and new. (related to library objectives #1, #3, #4, #7)

8) To provide for the library and its departments various types of tools relating to the circulation and use of library materials.

December 1973

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Short Term Goals

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluation
1,2,3,4,7	to weekly facilitate the location of material missing from the shelves and records upon patron request, finishing a search in two months, searching each one as frequently as possible, at least one to two times per week, etc.	on a semester basis	searches every week and reorders of these materials	use computer statistics to determine how many remaining at the end of 2 months that were originally placed.	2 months	
1,2,4,7	to daily notify patrons of material coming due and overdue to obtain their return billing for those materials 5 weeks overdue, reordering those 9 weeks overdue	on a semester basis	daily mailing of reminder overdue, and bill notices	use computer statistics to determine what percentage of books taken out are overdue noting trends and patterns.	monthly	
1,2,3,4,7	to daily locate material on order for patron use, notifying patron in 2-3 days as to status; keeping track of success in location of materials.	on a semester basis	submit "Temp Request" - search in internal temp file for location; notify patron.	keep statistics on how many are submitted and how many are actually located.	semester	
3,4	to provide for the majority of fine and bill collection to be done by Business Office of University each month	on a semester basis	submit all unpaid fines and bills to them monthly if $1.00-records cleared daily and accumulated to end of month.			
1,2,3,4,7	to quickly and easily charge out a book within a 5 second period.	on a semester basis	automated system book card in each book; ID badge for each patron	try to gain statistics from the computer as the average charge out. Do some charging each month to test.	semester	

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Short Term Goals

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluation
2,7	to issue library cards within 7 days of application to other than University people who express a genuine academic research need.	monthly	applications and machine readable cards	follow the progress of an application to determine the length of time it spends in process	at the beginning of each semester	
2,4,7	to issue extended loan within 7 days of application to University students who express a genuine long-term need for specific research materials. (note: faculty will automatically have this privilege upon request)	monthly	applications; machine readable library cards	same as above	same as above	
1,2,3,4,7	to recall materials daily for use by another patron, making phone calls if necessary to obtain books to ensure the fast return of material, within one week of first notice sent (maximum), processing any number submitted daily.	end of semester	notices sent at five day intervals; phone calls made as needed; eventually will reorder if not returned.	determine from computer statistics what percent of all recalls are returned by recall due date also, how many phone calls need to be made on these. How many recalls are picked up.	end of semester	
1,2,3,7,8	to attempt to continuously identify and replace missing, lost, and mutilated material; being able to process lists of these categories within two weeks of receipt	monthly	using bi-weekly printouts of missing and billed material (long overdue and 2 mo. old searches) periodically reorder books; work with head shelver to pull damaged material from stacks; separate material on book return; work with processing supervisor to repair or replace the above two.	determine if lists can be fully processed within this two week period or if many are held over for a period of time		

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Short Term Goals

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluatio
1,4	to identify problem borrowers and situations bringing the difficulties to the patron's attention using a personal approach wherever possible, trying to determine by history file if this approach improves borrowers' cooperation; trying to determine if this approach is overly offensive to persons concerned	daily	computer will automatically flag the names of the following: 1) borrowers with overdue requests (2nd notice stage 2) borrowers with overdue books (at one wk. prior to billing) 3) borrower whose ID has been stolen (done at request of patron) 4) patrons leaving the University, etc. others	attempt to statistically demonstrate if this deters people from abusing library privileges-attempt to show if there are time lags and problems in keeping files up to date by tracking a new employee's records to see how long it takes for him/her to be put into the records		
7,8	to provide binding, book repair and other library dept. with print outs for daily, weekly and monthly basis	on a semester basis	computer will produce print outs in order by: 1) call # 2) date charged then call #	discuss with each department the usefulness of these printouts getting suggestions for the following semester	end of each semester	
1,2,3,4,7	to facilitate renewal of needed material on a daily basis and semester basis for EB's	on a semester basis	will be renewed by charge out slips, physical books, or in the case of EBs, inventory lists	determine from computer statistics the number of renewals processed and compute how this compares with the number of books kept overdue		
1,2,7	to attempt to keep more accurate location records of all materials off the shelves, even books on hold.		computer will keep track of all material out, plus on hold under desk and discharged on the day in question.	over the period of a week note if materials wanted show up now as on hold or discharged today.	a busy week near end of semester	
1,4	to attempt to deter late return of materials by changing overdue fines at the rate of $.10/day and request fines at $.50/day	on a semester basis	sending reminder and overdue notices reminding patron of book status; send and fine and b notifications payable to Business Office.	from statistics, kept by the computer, determine if there is a decline in late returns over the course of the first year	end of August 1974	

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Long Term Goals

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluatio
1,2,3,4,5,7,8	to provide a thorough and ample staff orientation, pointing out in a clear detailed way circulation policies and procedures, general library policies departmental functions, catalog and linedex information.	Fall 1972 -Spring 1973 (continuous)	provide circulation handbook and manual, information notebook at front desk, library handbook, staff manual, tours, seminars on information desk, etc. Close work with circulation supervisor.	understanding of new staff of functions of this and other departments determined through interview.	Spring 1973	
[illegible],7	to equalize all borrowers' privileges giving all patrons the same rights, privileges and regulations-hopefully satisfying the needs of more borrowers.	periodic accomplished Sept. 1973	changing of borrowing policies	borrowing patterns using statistics compiled by computer.	Spring 1973	
2,7	to play a greater informational role in the library, providing general policy and location information, referral to appropriate departments instruction in use of and interpretation of the public catalog and linedex; assisting patrons in location of difficult to find material.	continuous end of each semester	seminars with staff of reference, cataloging, and serials in use of these tools; seminars with department heads as to goals, functions, and purposes of their departments, reading of available circulation and library information (handbooks, etc.); designated information desk manned by staff; flexibility to physically show people where material is, how to use public catalog, etc.	keep track of questions that can't be answered. Feedback from reference as to seccess	December 1973	
1,3,7	to integrate the shelving of books into the circulation procedure.	Summer 1974	reassign classified staff member in charge of this (and student s vers) to circulation department.			

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Long Term Goals

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluatio
1,2,3,4,5	to periodically evaluate the performance of the circulation department and its staff	prior to recommendation for raises and promotions.	discussion of staff regarding department functions, performance, policy, success-discuss with each staff member their areas of strength and weakness prior to formal evaluation - formal staff evaluation using standard form and interview - solicit evaluation of supervisor from staff.	determine if the goals and objectives of the department (and library) are being met, determine if needs of the individual are being satisfied.		
2,7	to play a role in directing people to locations and departments on campus	Spring 1974	to be determined (seminars, tours, maps, etc.)	keep track of questions that can't be answered. Other statistics manually kept.		
1,2	to automate journal records in the same way as LC's and Deweys	Sept. 1974	create distinction and identification number for each journal; punch cards for each volume.	see if each journal can be identified uniquely and therefore, placed in computer records.		
3,1	to encourage patron use of ID badge to contribute to efficiency of and use of the automated charge out system.	continuous	provide for manual charge outs, if necessary, but show the greater efficiency of automated charge outs; keep track of number of manual charge outs and bring excessive nos. to patron's attention.	use statistics to see if over a period of time there are drops in the number of manual charge outs.		
8,7	to identify collection needs	each semester	statistic reports			
1,2,5,8,7	to identify borrowing patterns	each semester	statistic reports			
	ther statistical reports will be possible					

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Long Term Goals

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluatio
1,7	to maintain a current quickly circulating collection of paperbacks for the purpose of supplementing our main collection with short lived materials, light reading, etc.	yearly	assign staff members to buy, catalog, and periodically weed and update this collection.	using statistics available to see frequency of use, areas of need, etc.		
1,2,7	to maintain a new acquisitions shelf in the lobby to bring to the attention of the public our newest material.	Sept. 1973 & yearly	assign staff members to be sure material is weekly replaced with the next week's new acquisitions.	attempt to observe use and interest by public.		
2,7	to provide in the library a typing area for public use (typewriters being made available)	Sept. 1973	request administrative assistant for general service to locate space; donate the three typewriters now used by public at circulation.	attempt to observe the frequency of use, degree of vandalism.	Dec. 1973	
1,2,3,4,7	to facilitate renewal of needed material	semester	renewal lists printed by computer (mail)	note number of renewal lists returned; see if this curtails lateness.		
1,2,4,7	to continually keep track of the location of material charged out on an extended basis to patrons	semester /yr.	to request response to renewal lists, and physical return and renewal of extended loan material once each year.	note if fewer materials are actually lost by patrons; keep track of whether or not this procedure is burdensome to patrons or a good means for them to keep track of material.		
1,2,3,4,5,7,8	to periodically review our policies, procedures and services to be sure hey fit the needs of the public and the goals of the library.	yearly	using statistical reports staff discussions, public and library surveys.			

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Long Term Goals

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluatic
1,2,3,5,7,8	to attempt to provide new services as the need and opportunity arise.	continually	same as the above.			
1,2,7,8	to provide periodic inventory lists for various library departments permanent loan departments, etc. so as to check on book location.	semester (yearly ?)	computer print outs.	see if this aids us in keeping better location records on material; check to see if fewer books are, in fact, lost on these long term loans.		
7,8	to provide Reserve with several print outs per semester for internal use.	semester	computer print out.			
1,3,4,7	attempt to get material back spring semester before departure of many patrons.	April 1974	computer notice to all patrons in the middle of April.	see if there is an excessive number of overdues at the end of the semester.		
1,2,3,7	to allow the charge out of uncataloged material obtaining its return as soon as possible (maximum charge out period is six months) so it can be properly cataloged and listed in public catalog.	every six	computer will recall these materials for cataloging.			
1,4,7,8	to keep a history of the borrowing practices of extended borrowers and public borrowers which will aid us in determining further borrowing privileges.	semester	computer will give history of each person in these catagories.			

THE UNIVERSITY OF CONNECTICUT
WILBUR CROSS LIBRARY

Circulation Desk - Long Term Goals

Department Objectives	Goal	Target Date for Review	Means	Measurement Criteria For Evaluating Results (Standards)	Date of Evaluation	Evaluati
1,4,7	to attempt to deter all late return of materials by restricting borrowing privileges when materials are overdue rather than fining.		computer could automatically flag patrons name with "do not charge" when had material out overdue a certain period of time; would take off restriction when material was returned.	from statistics would determine if this method was more successful than fining method.		
1,2,3,5,7	to conduct general library tours.	Sept. 1974	adequate training from reference staff using library maps, handbooks, etc., and knowledge gained from seminars.			

Second draft
5/27/75

Accepted by...

Revision attempted as per suggestions
of M. Balmer 4/3/75

Departmental Objectives
Serials Department
April 1, 1975 - June 30, 1976

1. To provide a quality collection of both current and retrospective serials materials in any and/or all forms needed to meet the present requirements of users. (Relates to Library Objectives III, V; 1, 4, 5, 6)
2. To maintain complete and accurate records for all serial publications. (Relates to Library Objectives V; 5, 6)
3. To enhance the quality of the Serials Information Service. (Relates to Library Objectives IV, V; 2, 6)
4. To preserve serials materials appropriately. (Relates to Library Objectives V; 5)
5. To recruit and develop an effective staff, and to provide opportunities for personal and career development. (Relates to Library Objectives V; 3, 6, 7)
6. To arrange the Department as attractively and as comfortably as possible, and in the manner most conducive to an efficient working operation. (Relates to Library Objectives IV; 2)
7. To catalog and/or classify all non-governmentally published serials.
8. To investigate automated systems to improve service and operations.
9. To review types and methods of keeping statistics.
10. To review the MRAP Report in order to further identify recommendations within that report pertinent to the Department, and means of implementation whenever appropriate.

BEST COPY

Second draft
5/27/75

Revision attempted as per suggestions
of M. Balmer 4/8/75

Performance Goals
Serials Department
April 1, 1975 - June 30, 1976

I. A. PERFORMANCE GOAL

Active and continuous participation in serials selection and review

B. RELATES TO OBJECTIVE(S): 1, 4

C. MEANS OF ACCOMPLISHMENT

1) Using staff input - formal and informal
   a) Staff committee participation
   b) Staff suggestions

2) Encouraging greater faculty input
   a) Making use of existing Departmental/Institute liaisons
   b) Encouraging the Library Administration to assist in developing non-existent Departmental/Institute Library liaisons
   c) Encouraging fuller reciprocal communication between Library and academic community (through Department newsletter, acquisitions lists, etc.)

D. EVALUATION

1) Through faculty and user feedback - formal and informal

2) Through cost analysis

II. A. PERFORMANCE GOAL

Work toward a Central Serials Record

B. RELATES TO OBJECTIVE(S): 2, 3, 7

C. MEANS OF ACCOMPLISHMENT

1) Transfer of serials records from continuations file in three steps:
   a) To complete the transfer of all records for titles received on subscription
   b) To begin and complete the transfer of all records for titles received on continuation and to transfer all of these titles to serial subscription lists
   c) To transfer all serial titles received on standing order to the Serials Department

D. EVALUATION

Statistical, via Binding Section's records of number of serial volumes bound or processed in house; analysis and review of Serials Binding Unit achievements

V. A. PERFORMANCE GOAL

To create and sustain a working climate conducive to excellence in performance (both qualitative and quantitative) and in staff morale

B. RELATES TO OBJECTIVE(S): 5, 3

C. MEANS OF ACCOMPLISHMENT

1) Periodic review and updating of policies, procedures, job descriptions

2) Codifying in writing supervisor/s expectations of staff and the seeking of and encouragement of staff input in this process

3) Periodic review of performance

4) Presence of supervisor/s expectations in Procedures Manual

5) Providing, whenever possible, opportunities for the professional development and growth of each staff member:
   a) Arranging intra-departmental learning seminars
   b) Encouraging staff participation in Library-wide activities, e.g., service at Circulation Department's Information Desk
   c) Encouraging formal study, i.e., taking of courses, as opportunity permits

D. EVALUATION

Observable staff morale, participation, and participation in departmental and other activities as implied above

VI. A. PERFORMANCE GOAL

To paint the serials work area and in other ways enhance the aesthetic appearance of the Department

B. RELATES TO OBJECTIVE(S): 6, 3, 5

C. MEANS OF ACCOMPLISHMENT

1) Organized "painting party" if the work of painting the area is not otherwise available

2) Rearrange as seems appropriate for greater efficiency of operation (often experimental)

D. EVALUATION

Noticeable improvements in Department's physical environment and measurable productivity

VII. A. PERFORMANCE GOAL

Using computer technology, produce a list of the Library's serials holdings including the capability for obtaining specialized lists for user and Library needs.

P. RELATES TO OBJECTIVE(S): 1, 2

C. MEANS OF ACCOMPLISHMENT

Determine information to be included in lists
Investigate available serials print-out programs
Work with computer programmers to design program
Establish and implement procedures for gathering information for computer produced list

D. EVALUATION

Production of lists
Response from users
Accuracy of lists
Ability of lists to supply information required

VIII.A. PERFORMANCE GOAL

Move ahead with serials cataloguing and/or classifying

B. RELATES TO OBJECTIVE(S): 7, 2, 4

C. MEANS OF ACCOMPLISHMENT

1) Push for position of Serials Cataloguer

2) Continue to identify and recommend monographic series requiring full cataloguing and classification

D. EVALUATION

Statistical record of items identified and processed for cataloguing treatment

IX. A. PERFORMANCE GOAL

Collaborate with Library administration in any overall Library-wide efforts to achieve more meaningful or useful statistics

B. RELATES TO OBJECTIVE(S): 9, 2, 3, 7

C. MEANS OF ACCOMPLISHMENT

1) Through formal and informal communication

2) Through review of currently existing codified policies on statistics, if any

D. EVALUATION

An observation of the uses made of the statistics kept

X. A. PERFORMANCE GOAL

Work out procedures for review and timetables for accomplishment of review

B. RELATES TO OBJECTIVE(S): 10

C. MEANS OF ACCOMPLISHMENT

1) Meetings with staff

2) Meetings with departmental representatives to various MRAP committees

D. EVALUATION

Progress made toward achieving implementation of MRAP recommendations for the Department. In this connection, it should be kept in mind that, for whatever reasons, some of the MRAP time schedules for achievement have not been entirely realistic, and therefore have either been extended or modified.

. . . .

GENERAL STATEMENT ON PLANNING FOR THE NEW BUILDING

The Department has done no concrete recent planning nor review of its former plans for the new building. The Department recognizes the need for administrative leadership and initiative in further planning, but wishes to be seriously involved in every phase of any planning which will affect the direction of the Department's work. It is believed that the Department can be constructive in such an involvement.

UCSD LIBRARY - LONG RANGE PLAN TO 1984

I. Library Development

The development of the UCSD Library has paralleled the development of academic programs. Thus, the early efforts of the Library were directed toward meeting the needs of graduate and sponsored research programs in the sciences. This was followed by the acquisition of a basic undergraduate collection through the Three Campuses Program, which created the basic collection for three new campuses of the University of California. Before these efforts matured, graduate programs were instituted in various fields of the humanities and the Library responded by broadening its collection development efforts to support these programs. Major emphasis until recently has been on development of the book collection. In recent years increasing attention has been given to reference, instruction, and other services for library users.

II. UCSD Goals

The future goals of UCSD[1] present new challenges to the Library which are the equal of those of the past. UCSD goals call for: providing high-quality undergraduate, graduate, and professional instruction; maintaining existing "centers of excellence" in graduate instruction and research and developing new centers in approved areas; continuing support for graduate and professional school research programs, particularly in the Marine and Health Science; encouraging interdisciplinary study responsive to the changing fields of scholarly inquiry and the needs of society; continuing to enhance all academic programs, particularly the graduate and the professional, by maintaining pre-emminence in selected fields of organized research which are related to eductional programs.

More specific UCSD goals include: expanding course offerings in Sociology, Anthropology, and Economics; creating a new department of Political Science and a School of Law; improving significantly programs in Urban and Rural Studies and Communications; providing additional support for the Humanities and the Arts in order to achieve a proper balance to the total offerings of the campus; and establishing the approved Department of Librarianship.

---

1) See UCSD Goals Statement of August 15, 1972.

BEST COPY

III. Library Goals and Objectives

The Library's objective is to achieve a balanced program of services and collection development to provide levels of support appropriate to UCSD's academic and research programs. Specifically, its goals are:

1. To provide a collection and resource materials adequate to support the instructional and research programs.
2. To develop and maintain adequate library facilities.
3. To make the Library's collections and its reference and other public services accessible to faculty, students, and staff of the University, and as far as possible, to individuals, public and private institutions, and industries in the San Diego region. In order to meet these goals it is the Library's objective to select, develop, and maintain the qualified staff necessary to provide the collection and services.

IV. Discussion of Library Goals

A) Collection Development

The budgeted number of volumes to be added to the Library annually has decreased from 80,000 several years ago to less than 70,000 today. Careful assessments of the needs of the UCSD Library indicate that to meet our commitments for basic collections for UCSD and the San Diego area, the Library needs to add annually a minimum of 70,000 volumes of current materials and 15,000 volumes of retrospective material. The current status of retrospective collections varies by subject field. In the sciences, basic retrospective collections are now at, or close to, satisfactory levels. In other areas significant progress has been made toward meeting basic requirements, but much remains to be done. In other fields only the first beginnings toward research capability have been achieved. In all subject areas, except oceanography, UCSD will continue to be heavily dependent on other libraries in the UC system and on other research libraries. The levels aimed at are to meet basic educational and research requirements, levels which are far from what might be considered comprehensive or complete. While the necessary retrospective collection levels could be established faster if the libraries were allowed to grow at a budgeted rate of 100,000 volumes per year, the campus believes that it is realistic to insist on a growth rate of 85,000 volumes per year as follows:

1. 23,000 volumes of current books and serials to maintain basic support levels for the sciences including the Marine and Health Sciences.

2. 47,000 volumes of current books and serials to support graduate and research programs in the fine arts, humanities, and social sciences, and to provide current materials to support undergraduate instructional programs.

3. 15,000 volumes of retrospective material to continue development of basic collections supporting existing and new programs in the social sciences, fine arts, and the humanities.

4. An additional 10,000-volume increase in the annual acquisition rate to support the development of a law library, should a law school be approved for UCSD.

B) Development of Library Facilities to 1984

1. General Discussion

Plans for library facilities are based on State of California standards relating to space for books, library users, and staff. As the campus grows to an expected total of 17,000 students in the next ten to twelve years, space available for library use will have to approximately double, from a present 181,000 square feet to 363,000 square feet. Space requirements in 1984 are shown in Tables I and II. To meet these requirements an addition to the University Hospital Library of 4,000 ASF is scheduled for completion sometime in 1974. A new Scripps Institution of Oceanography Library building of 31,500 ASF is scheduled for completion in 1975. A centrally located undergraduate library building of 55,500 ASF is needed as soon as possible, but certainly no later than 1977. The second unit of the Central University Library of 68,000 ASF should be completed by 1979. By 1981 there should be additions of 13,000 ASF to the Biomedical Library and 10,000 ASF to the Science and Engineering Library. In addition it is contemplated that a Law School will be established at UCSD so that a Law Library Building or space of 27,600 square feet will be required.

2. Revised Plan for the Undergraduate Library

The original plan called for the development of three "cluster" libraries, each one consisting of an undergraduate library and a science and engineering library. This made good sense when the academic plan projected 12 colleges in three clusters, and an enrollment of 27,500 students. However, with the revision of the campus plan to develop 5 colleges and with a revised projected total enrollment of 17,000 students, the library plan must also be adjusted.

In order to provide appropriate and adequate collections, library services, and seating for study for undergraduates, a new undergraduate library facility must be planned and should be completed by 1977. The present facility in the H-L Building is central only to Revelle College, is now at maximum seating capacity, and has insufficient space to provide for collections and services for five colleges.

The revised plan provides that:

1. one, rather than three undergraduate libraries, be developed to serve the five colleges.

2. the library be located in the first "Cluster Center," making it convenient to all five colleges, to the student union, to the student health service, to the gymnasium, and the fine arts center.

3. the library consist of a total of 55,500 square feet to accomodate a collection of 133,000 volumes, 1378 seats for readers, and staff stations.

In its relations to the undergraduate student and his needs, the Undergraduate Library is to the university library system what the college is to the university. The parallel is valid as the stated objectives of the UCSD College plan is to give the students and faculty the opportunity of working together in small academic units while at the same time enjoying the advantages of a major university. Thus, too, the Undergraduate Library offers UCSD students a way of combating the negative aspects of size while offering the following substantial benefits:

1. the Undergraduate Library is an identifiable referral point for undergraduate library service. It provides for direct contact between librarians skilled in meeting undergraduates needs and faculty involved in undergraduate teaching in order to make possible maximum coordination of courses and library service and materials.

2. the Undergraduate Library provides a "choice" comprehensive collection of manageable dimensions chosen to support undergraduate needs and specific curricular requirement. The size of the collection allows students to readily come into contact with basic materials, and the collection can readily be weeded of out-of-date materials and can be rapidly readjusted to the demands of new programs or methods of teaching.

3. the Undergraduate Library provides centralized and simplified service. The uncomplicated collection is arranged simply and services are concentrated at two service points within a single department. With the help of specially trained staff, students learn to use the library easily.

4. the Library can be kept open for long hours more economically than if the services it provides were integrated into another library unit, i.e., the Central University Library.

5. the Undergraduate Library provides a "home base" for undergraduates where they do feel at home. Students are very sensitive to institutional responsiveness. A major advantage of a separate Undergraduate Libary is that it has a identifiable clientele to which it can respond. Therefore, it is possible to more readily define and adjust goals, to define necessary qualifications of staff, and to reduce the possibility of goal displacement which is more likely to occur if an institution seeks to serve a wide variety of clients and conflicting priorities.

C) Access to Library Collections

Major responsibilities of the Library include making its collections accessible by providing for effective control and use of its holdings and by providing services which encourage the cooperative sharing of resources with other libraries. In order to carry out these responsibilities the Library must be open and sufficiently staffed for service a reasonable number of hours, it must be sufficiently staffed to process new materials for public use at a rate equal to the acquisition rate, and must participate in cooperative efforts to improve library services and collection utilization throughout the San Diego Region. Therefore, the Library supports the following basic goals:

1. That each UCSD Library be open 100 hours per week and that staffing levels be increased to support reference and circulation services for these 100 hours per week.

2. That the Library intensify its formal and informal instructional programs in order that UCSD Students develop an adequate level of competence in utilizing the Library's collections and services.

3. That the Library process incoming materials for use at a rate equal to the acquisition rate and that processing staffing levels be increased to achieve this goal.

4. That the Library as the major research Library in the San Diego area carry out its responsibility for serving as a research facility for the area by continuing its program of cooperation with other libraries by participating in the programs of the Committee on Library Cooperation and the San Diego Greater Metropolitan Area Library Council.

2/28/73

TABLE I

Space Requirements For the University Library by 1984

In Assignable Square Feet

	Seats	[a]Stacks	Staff	Other	Total
Central University Library	44,121	86,940	17,000	31,796	179,857
Cluster I Undergraduate Library	34,450	9,310	2,400	9,232	55,392
Science and Engineering Library	8,611	11,270	1,000	4,176	25,057
Scripps Institution of Oceanography Library	4,676	11,620	1,500	13,704	31,500
Biomedical Library	13,330	15,820	2,500	6,332	37,982
San Diego Medical Society-University Hospital Library	2,296	2,100	500	977	5,873
Law Library	7,000	14,000	2,000	4,600	27,600
Total	114,484	151,060	26,900	70,817	363,261

a) Based on an annual acquisition rate of 85,000 volumes.

TABLE II

Present and Additional Space Requirements

	ASF '73	ASF Req. '84	Addl. ASF Req.
Central University Library	112,000	179,857	67,857
Cluster I Undergraduate Library	17,000	55,392	38,392
Science and Engineering Library	15,530	25,057	9,527
Scripps Institution of Oceanography Library	9,191	31,500	22,309
Biomedical Library	25,000	37,982	12,982
San Diego Medical Society-University Hospital Library	2,100	5,873	3,773
Law Library	- - -	27,600	27,600
Total	180,821	363,261	182,440

UNIVERSITY OF WASHINGTON LIBRARIES

Office of the Director

GENERAL ORDER NO. 52
19 January 1972

STATEMENT OF PURPOSES, GOALS AND OBJECTIVES FOR THE UNIVERSITY OF WASHINGTON LIBRARIES

The following statement of "Purposes, Goals and Objectives for the University of Washington Libraries" should be considered its official statement on this subject and should provide a point of reference for the direction the Library system is to take. In effect, it should be the basis of future planning as well as current operations.

University Libraries serve to acquire and make available the record of human knowledge in order that scholars may review and build on the work of their predecessors. The University of Washington Libraries, functioning within this framework and desiring to structure their future development, have established the following purposes, goals, and objectives.

Purposes:

The Libraries constitute a vital instructional arm of the University of Washington and exist primarily to contribute to the University's teaching and research functions. In addition, the Libraries seek to serve the citizens of the State of Washington, consistent with their primary function and within the limits of their resources.

Goals:

In order to carry out these purposes the Libraries shall:

1. Develop a collection which reflects and anticipates the curricular and research needs of each of the primary user groups (undergraduate and graduate students and teaching and research staff and faculty) at the University of Washington.

2. Provide services responsive to the needs of the respective user groups.

Objectives:

The Libraries have established the following objectives in order to meet these goals:

1. The Libraries shall identify and anticipate the information requirements of each of the primary user groups by seeking and maintaining a dialogue with the academic community in order to be aware of current courses, degree programs, and research, and any changes therein.

2. The Libraries shall maintain an awareness of important resources, regardless of form, in the fields collected and shall seek to acquire them.

3. Means for retrieval of resources and easy access to collections shall be provided.

4. The Libraries shall provide an instructional program to acquaint Library users, both individually and in groups, with the Library resources and with the bibliographical aids necessary to retrieve these resources.

5. Undergraduate, graduate, and faculty-researcher needs shall be clearly identified in terms of a philosophy of library service, staff development, and physical plant development.

6. Use of the Libraries' collections and services shall be extended beyond the academic community to those citizens requiring access to research materials not provided by other public service agencies.

7. The Libraries shall participate in state, regional, national and international programs which serve to share the responsibility of collection development and library service.

8. The Libraries shall maintain an awareness of new developments in librarianship and information science, utilizing those which will enhance its ability to serve the academic community.

9. The Libraries shall attract and retain a staff of librarians and support-personnel of high potential.

Marion A. Milczewski
Marion A. Milczewski
Director of Libraries

MAM/vh

BEST COPY

SELECTED PORTIONS

COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK
REPORT OF THE UNIVERSITY LIBRARIAN 1971/1972

Preface

This report is written to provide an overview of Library activity during the past year as a measure of our progress towards the goals perceived for the Libraries in the context of the University academic program.

Library goals can be stated in many ways. At one extreme is a detailed checklist of objectives of such length that fundamental points are lost sight of. At the other end of the scale is the oversimplification inherent in such statements as "the objective is to provide recorded information needed by members of the University." Brevity is the only virtue of such a statement because it contains no hint of the magnitude of the total body of recorded information with which libraries are concerned; the forms and languages in which information is found; the unpredictable and far-ranging needs of scholars and students; constraints on available resources--both financial and human; the technologies that are affecting the processes of information production, transmission, and storage; and the many other factors that conspire to separate our aspirations from our performance.

Therefore, to strike a balance between these extremes, we have chosen as a backdrop the nine objectives that were formulated in the process of studying the organization and staffing of Columbia's Libraries, a project referred to in some detail below. Taken together, these nine goals give meaning to library activity. They also raise issues that are subject to review on a continuing basis, just as they imply that choices have in fact been made and directions charted.

The substance of the report is followed by a final section which, in looking ahead, suggests that progress within the Libraries, like that within the University itself, is not measured in segments neatly keyed to the calendar or the budget. We simply proceed with our work.

Objectives and Action

Objective 1: To select and acquire those information resources most needed to support the research and instructional programs of Columbia University consistent with the objective of selective excellence.

Libraries like Columbia's imply high quality, continuity of effort and stability--characteristics that make first-rate research collections a touchstone to the human record for society at large as well as for scholars in specific disciplines. But the process of building a general research collection in a wise and methodical way grows increasingly difficult. While the sense of responsibility to traditional collecting goals remains strong, the pressures to add new areas of emphasis are intense and the tendency to respond positively to concerns about anything short of comprehensive collecting in each of these areas is difficult to control. Further, the effects of fixed dollars in the budget, extra-inflated prices of published materials, dollar devaluation abroad, and an increasing world volume of publications compound the problem.

Nowhere is the evidence of explosive growth of publication more evident than in serial acquisitions, where the number of titles acquired has moved upwards by almost incredible leaps in the past decade to over 50,000 titles. A growing portion of our annual budget for collections, now estimated at 40 per cent of the total, is spent on serials. These acquisitions in turn dictate a need for growing binding budgets and more shelf space. Careful scrutiny of serial holdings has reduced duplication, improved coordination between Columbia and specialized libraries such as those of the American Museum of Natural History and the New York Botanical Garden has curbed growth, and increased reliance on collections at the Center for Research Libraries and the Medical Library Center of New York has helped to control the level of acquisitions. But the sheer volume of new titles of importance coupled with the global outlook of the Libraries, generated in part by the regional institutes but really inherent in the nature of learning itself, outweighs by far our efforts towards control.

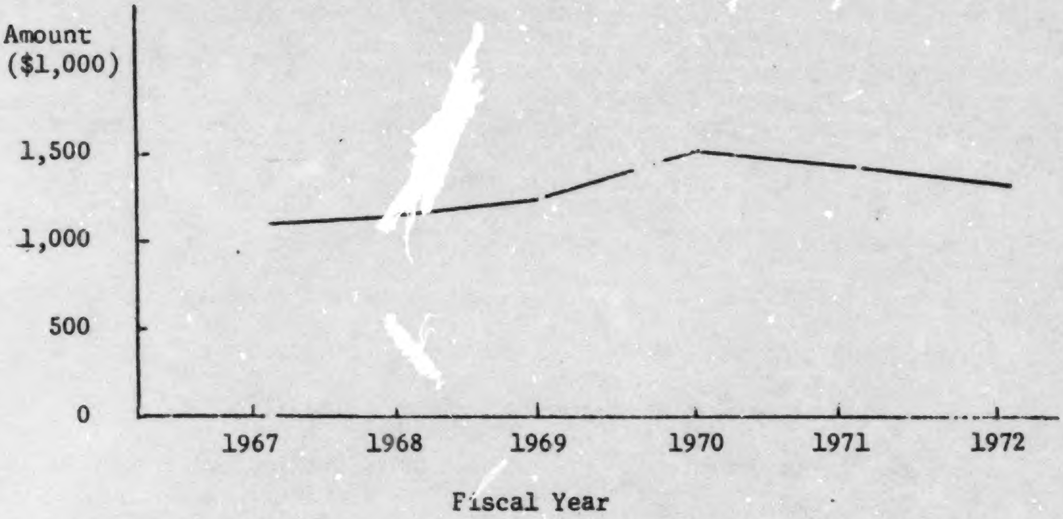
No category of publications more deserves the attention of research libraries acting collectively at the national level, and there is at least some evidence that concepts such as a national serial lending library are finally getting serious attention in the research library community.

In the end, however, an acceptable collection development program (and the objective is planned development, not constriction) is best achieved through the efforts of knowledgeable faculty members and staff bibliographers working together to select published materials on the basis of stated and accepted objectives, and with funds adequate to the job. Towards this end, a staff group has spent much time in recent months devising a method to formally record present collecting policies of each library component. The first draft is now complete, and the information has been coded and entered into a computer-based inventory of collecting policies. Difficult as this has been, the more complex tasks of establishing procedures for assessing and, when necessary, recasting our policies is still ahead. Faculty assistance and understanding is essential if a purposeful plan for collection development is to be established; for without this input, the plan itself will have no utility. The very fact that we now have a description of our present policies uniformly expressed in the context of the Library of Congress classification system permits further review of areas of overlap among libraries and identification of gaps that should be filled.

While we have made substantial progress in clarifying our collecting policies and building a strong staff of bibliographers and other selection officers with specialized subject and linguistic skills, we still do not have funds adequate to the job.

Actual total expenditures for collections (books, journals, binding) have drifted downward from their 1969/70 peak of $1,518,000 to $1,489,000 in 1970/71 and $1,338,906 in 1971/72.

Actual Expenditures: books, journals, binding



The budget for 1972/73 calls for a further slight decline. Because of economic factors, even fixed funding means a reduced volume of acquisitions. Actual dollar reductions compound the damage. Every effort has been made to cut back on nonessential purchases; multiple copies for reserve have been drastically reduced; acquisitions sharing projects have been entered into with regional libraries through METRO; discussions with the New York Public Library have opened prospects for cooperative acquisitions projects in some areas; and membership in the Center for Research Libraries has affected acquisitions in special categories such as major microtext collections of research archives and newspapers on microfilm.

But despite these steps,the shortage of funds is now working serious hardships on our collections, and inevitably on academic programs. In medicine and the sciences generally, where serial costs have risen abnormally, only a small portion of requested monographs are actually bought. The situation is no better in law, where the evidence of expenditure levels in comparable libraries and overexpenditures here suggest we are underbudgeted by about twenty per cent. In art history, an area of traditional strength, we spend about half the average level reported by eleven art libraries of state universities offering the Ph.D. in art history. The evolving program of the Lehman Library, the center for much social science research activity in the University, will eventually call for a funding base substantially beyond that adequate for these first years of development. In Butler, the research center for humanistic and historical studies, present constraints will inevitably jeopardize collection quality. For example, during the past two years the purchase of reprints to replace worn or deteriorated volumes has been essentially stopped, as has been all but the most essential retrospective buying.

The danger of going on as we are is to permit erosion of standards of quality that have been developed and maintained over many years. This kind of gradual debilitation cannot be acceptable to Columbia. To reach a solution, either the fields in which we collect at the comprehensive level (and obviously, in which the faculty of the University works) will have to be significantly reduced, additional funds for collection development will have to be provided, or a significant reduction in the number of library units we operate will have to be made and the savings devoted to acquisitions. Prompt resolution of this problem is the single most important task facing the University Libraries today.

Objective 2: To assure the continuing development directly or indirectly of those distinctive collection strengths that have been developed at Columbia, in recognition of the libraries' obligations as custodian of significant resources of regional, national and international importance.

Very large research libraries inevitably count among their holdings some collections of great distinction. These special resources are important not only to the institution of which the library is a part but to the regional and national, and even international, scholarly communities as well. Such collections have grown within our libraries in many ways. Some come as gifts, happily supported by endowment funds to maintain strength and to guarantee future growth: the Avery Library is an example. In other cases, such collections simply represent a long-term acquisitions commitment stemming from the interests of a distinguished faculty coupled with appropriate University support. Columbia's collection of Chinese and Japanese materials, and its collection on library and information science are two of several possible examples of the result of this kind of long-established acquisitions activity. In some other cases, relatively new programs based on special funding from foundation and government sources have generated collections of real distinction. A number of Columbia's regional collections, perhaps most notably those pertaining to the Soviet world and East Central Europe, are in this category.

While there is recognition that collections such as these are really the elements that make for distinctive universities as well as distinctive libraries, the maintenance of the quality of such collections is a fragile thing and they tend to suffer first during periods of financial stringency. Prompted in part by this fact, there have been recent discussions on the national level suggesting that such collections be designated national resource centers with some provision for federal funding. Such a step would properly acknowledge the national importance of these collections and would serve to make them fully accessible to scholars, regardless of their affiliation. Realistically, the time for this kind of enlightened action is still somewhat distant. Until it comes, individual institutions must find ways to maintain these collections on their own, as they have in the past. The implications should not be underestimated, for distinctive collections require both the dedicated attention of individuals who are themselves experts in the field concerned and the extraordinary funding required to take advantage of opportunities to add strength as they occur. Distinction is not a hallmark of the _status quo_.

There seems no question but what many of Columbia's special collections are suffering now, simply because the level of funding that has been enjoyed in recent years has come to an end. Avery Library alone is funded predominently by endowment money. The rest of our most important collections are totally or at least partially dependent on general income. Fiscal constraints tend to level out acquisitions activity so that areas of traditional distinction, in terms of current acquisitions, become blurred with the more general policies governing overall library growth. It is not clear how this problem can be resolved in the immediate future. Quite possibly, special efforts should be made to find supplementary funds from external sources for a few carefully selected collections in order that they might not lose ground. The review of collecting policies referred to earlier will help validate the areas in which such special effort is justified.